

# Notice of Meeting

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## Schools Forum

**Monday 30th October 2017 at 5.00pm**  
at Shaw House Church Road Newbury  
RG14 2DR

Date of despatch of Agenda: Tuesday, 24 October 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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Further information and Minutes are also available on the Council's website at [www.westberks.gov.uk](http://www.westberks.gov.uk)



## Agenda - Schools Forum to be held on Monday, 30 October 2017 (continued)

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

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# Agenda

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Andy Day  
Head of Strategic Support

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



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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, 17 JULY 2017**

**Present:** Reverend Mark Bennet, Councillor Anthony Chadley, Jonathon Chishick, Catie Colston, Jacquie Davies, Chris Davis, Paul Dick, Councillor Lynne Doherty, Antony Gallagher, Keith Harvey, Angela Hay, Jon Hewitt, Brian Jenkins, Julia Mortimore, Sheilagh Peacock, Graham Spellman (Vice-Chairman), Bruce Steiner (Chairman) and Suzanne Taylor

**Also Present:** Gabrielle Esplin (Finance Manager (Capital, Education and Treasury Management)), Ian Pearson (Head of Education Service), Claire White (Finance Manager (Schools)), Katharine Andrews (Accountant (Schools)), Helen Newman (Governor at the Willink School) and Jessica Bailiss (Policy Officer)

**Apologies for inability to attend the meeting:** Ben Broyd, Lucy Dawe, Reverend Mary Harwood, Peter Hudson, Councillor Mollie Lock, Chris Prosser, David Ramsden, Keith Watts and Charlotte Wilson

**PART I**

**14 Minutes of previous meeting dated 19th June 2017**

The Minutes of the meeting held on the 19<sup>th</sup> June 2017 were approved as a true and correct record and signed by the Chairman.

**15 Actions arising from previous meetings**

There was one action outstanding regarding the vacant governing body position on the Schools' Forum. The Chairman welcomed Helen Newman, who would be observing the meeting with a view to taking on the vacant governor role.

**16 Declarations of Interest**

There were no declarations of interest received.

**17 Membership**

The Chairman announced that it was Sheilagh Peacock's last meeting of the Schools' Forum and thanked her for the contribution that she had made during her time as a Member of the Forum. Patrick Mitchell, School Business Manager at Francis Baily School would assume the position from September 2017.

**18 Schools' Forum Membership and Constitution from September 2017  
(Jessica Bailiss)**

The Schools' Forum considered a report (agenda item six), which present a review of the membership of the Schools' Forum. Jessica Bailiss reported that there was a requirement to review the membership and Constitution annually and that there had been no changes to the Schools' Forum regulations, which required changes to the Constitution.

Jessica Bailiss stated that the membership for the Schools' Forum must reflect the proportion of pupils within each sector. Although there had been a slight increase in

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academies, changes in pupil numbers across the sectors were not significant enough to require a change to the composition of the Forum.

Section four of the report listed members who would reach the end of their term in the coming months. Members would be contacted individually with the action they needed to take as set out in the Constitution.

In accordance with the report Jessica Bailiss invited Members to raise any questions and approve the Membership and Constitution from September 2017.

Catie Colston informed the Schools' Forum that when nominated for her position on the Forum, she had been the Chair of Governors at St Nicolas' Primary School however, she had since become the Chair of Governors at Enborne Primary School and questioned whether she needed to declare this and if it would affect her position. Ian Pearson confirmed that because her new role also fell within the Primary sector there was no issue. For clarity Ian Pearson added that this would only have become an issue if a role changed to a different sector, for example from Primary to Academy where all positions were occupied.

The Chairman invited members of the Forum to vote on whether to approve the membership and Constitution of the Schools' Forum from September 2017. Keith Harvey proposed that the recommendation within the report be approved and this was seconded by Chris Davis.

**RESOLVED** that the membership and Constitution from September 2017 be approved.

### 19 **Primary Schools in Financial Difficulty - Bid for Funding (Claire White)**

Claire White introduced the report (agenda item seven), which summarised a bid that had been received from a school in deficit to access funding from the schools in financial difficulty de-delegated fund.

Since April 2013, local authorities had been required to delegate to all schools the contingency previously held for schools in financial difficulty. Each phase in the maintained sector then had the option to de-delegate and pool this funding with allocations made to schools that required it. This decision was made on an annual basis.

The budget for 2017/18 was £314,650, which included the carry forward of the unspent budget from 2016/17 of £194,670. No payments had so far been made in the 2017/18 financial year.

A bid had been received from Long Lane Primary School for £28,000 (out of a total deficit of £55,740) to cover one-off redundancy payments. The school had been managing an annual reduction in pupil numbers over the previous four years, mainly due to Purley Infants becoming a primary school. The main reason for the deficit was that pupil numbers were over estimated within the school's longer term planning.

The bid for funding had been received by the Heads Funding Group on the 5<sup>th</sup> July 2017 and it was recommending approval of the bid (subject to verification of the robustness of the deficit recovery plan), with payment being the actual redundancy costs incurred up to a maximum of £28k.

Keith Harvey, who also sat on the Heads Funding Group, expressed the view that it was a strong bid and it was clear that it was being required for exceptional circumstances.

Paul Dick referred to paragraph 4.4 of the report and raised concern that the deficit recovery plan had not yet been reviewed in detail by Finance Officers at West Berkshire Council. Claire White confirmed that they had not yet been through the deficit plan in detail. In the unlikely event there was an issue which significantly changed their deficit position, the bid would be brought back to the Schools' Forum.

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Catie Colston questioned how far ahead the school had looked in terms of the effects of staff reductions on maintaining standards. Ian Pearson stated that this had not yet been set out in the context of discussions. Consideration had been given to what staffing was deemed as appropriate for the size of the primary school.

The Chairman invited Members of the Forum to vote on whether to approve the bid from Long Lane Primary School. Chris Davis proposed that the bid should be approved and this was seconded by Catie Colston.

**RESOLVED** that the bid for Long Lane Primary School be approved (subject to verification of the robustness of the deficit recovery plan).

### 20 **Schools Funding Arrangements for 2018/19 (Claire White)**

Claire White reported that there was no new information to report. There had been a Government announcement shortly prior to the meeting and it was anticipated that more detail would be available by September 2017.

### 21 **Resource Units - additional funding for exceptional circumstances (Claire White)**

Claire White introduced the report (agenda item nine) to the Schools' Forum, which set out a proposal to provide additional funding for resource units who need to stagger the entry for new pupils due to start at the unit at the same time.

West Berkshire currently had nine resource units at primary and secondary schools and a tenth was due to open in September 2017. Each provided specialist support and in West Berkshire there were units for pupils with physically disabilities, speech and language difficulties, autistic spectrum disorder (ASD), hearing impairments and specific literacy difficulties.

Each unit received funding of £10k for the number of places it supported. Sixth form places were funded at £6k in addition to the sixth form funding.

In most units the place funding did not cover the costs, so in addition top up funding was paid for each pupil in a unit. This funding "follows the pupil" and was paid by the local authority where the pupils lived. In West Berkshire there were three top up funding bands specific to each unit. The current funding rates were introduced in 2013 based on staff ratios for the number of pupils in the unit and at the relevant salary costs at that time, plus an allowance for non staffing costs.

The place funding and top up rates had not increased with inflation since they were originally introduced and in 2017/18 they were reduced by 0.5% as part of the high needs block savings requirement.

Although funding was fixed for a year, top up funding could vary if there was movement of pupils. Generally however the number of pupils would stay much the same for the year and as and when pupils left, their places would be refilled as soon as possible. Schools could therefore plan their unit budgets and staffing structures around the number of places and expected pupil numbers.

An exceptional circumstance had arisen at Theale Primary ASD Unit. Three pupils were due to leave the unit at the end of the summer term and although there were three pupils waiting to enter the unit, due to the complexity of their needs it was not possible to admit them all into the unit at once and they would therefore need to be integrated at different times. Not placing the pupils at the same time would have an impact on the unit's funding (approximately £10k shortfall).

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It was proposed that if any unit met the specific criteria for this exceptional circumstance, then additional funding would be payable as set out in section 5.2, 5.3 and 5.4 of the report.

Claire White explained that to ensure funding was fair and that the school was not disadvantaged by an exceptional circumstance beyond its control, additional funding as proposed would ensure other pupils in the unit were not disadvantaged in any way.

Claire White confirmed that it would be additional funding from the high needs block and Paul Dick expressed his view that with a sensible time limit, the proposal should be supported.

Jonathon Chishick queried what would happen if three children needed to transition from a primary unit to secondary unit however, there was not space available. Ian Pearson reported that children would have to be held at a primary unit if they could not be taken into a secondary unit. Jonathon Chishick further questioned if the unit where they remained would be funded accordingly and Ian Pearson confirmed that funding would be provided whilst they remained in the unit. It was thought that in this particular circumstance the pupils had been placed in different secondary provision.

The Chairman invited members of the Forum to vote on the proposal. Catie Colston proposed that the recommendation by the Heads Funding Group for approval of the proposal as set out in paragraph 5 of the report, be approved. This was seconded by Paul Dick.

**RESOLVED** that the proposal as set out in paragraph 5 of the report be approved.

### 22 **School Budgets 2017/18 and Schools in Financial Difficulty (Claire White)**

Claire White introduced the report (agenda item 10) which set out the overall position of maintained schools' three year budgets, highlighting some key observations, and detailed the strategy that the Council intended to follow for schools in financial difficulty.

Table 1 on page 29 of the report showed the position of schools' budgets. Although the number of schools setting a surplus budget (48) had stayed much the same, there had been a growth in the number of schools setting a deficit budget (11). There was a worrying trend that the number of schools in deficit was continuing to increase.

Table 2 showed the overall balances compared to the original budget/forecast. In 2016/17 the actual net balances were over £2m higher than the original budget. This illustrated the cautious approach that was being taken by schools and it was a trend that was not uncommon. In reality schools had a tendency to set budgets at the worst case scenario and through making careful spending decisions throughout the year were able to make improvements.

Highlighting Table 3, Claire White reported that there were eleven schools with a deficit budget for 2017/18 compared to seven last year (two of the seven schools setting a deficit in 2016/17 had a balanced budget for 2017/18). All except Beenham had improved on their forecast position, which emphasised the hard work most schools were putting in to improving their financial positions.

Looking at the year two and three forecasts, a significant overall net deficit balance would occur if schools took no action. This position was unlikely to materialise, as most schools would do what was necessary to balance their budget, with some taking difficult decisions regarding changes to the way they operated. However, the year two deficit figure was nearly £1m greater than the same figure last year.



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Many of the schools that had closed the 2016/17 financial year with an unplanned deficit and had gone into deficit in 2017/18 were those who had left it too late to take action, particularly if the deficit was large and the only option was to restructure.

In their forward planning schools would have assumed that funding rates per pupil would remain the same however, the proposed new national funding formula would change the likely funding each school would receive. As soon as new rates were known, schools would need to reassess their positions.

Claire White drew attention to section 6 of the report which outlined the proposed strategy to reduce the number and size of deficits. Headteachers would join senior finance staff in reviewing, challenging and advising on deficit recovery plans at those schools which were facing problems.

Proposed intervention for schools not meeting their deficit recovery plan was set out in section 6.5 of the report.

Claire White concluded that many schools in West Berkshire had successfully managed to balance and control their budgets, and had taken action to reduce costs, for which they must be commended. Action still needed to be taken to prevent further deficit.

Reverend Mark Bennett recalled that money had been awarded to Kintbury Primary School to support them with staff restructuring however, he noted that the school was still in deficit and queried if the plans had failed. Claire White commented that recovery often took time however, Kintbury Primary School had suffered a lower pupil intake than anticipated. Ian Pearson added that there had been a new Headteacher at the school who was working hard to turn the situation around. The viability of a school was often reliant on pupil numbers.

Chris Davis queried if everything possible was being done to help Parsons Down Primary School set its budget. Claire White reported that the school had a deficit budget of about £80k and that work was now being undertaken with the school to help turn this around.

Graham Spellman commented that the situation would get worse as time went by and he was concerned about the huge gap in forecasting from one year to the next. He questioned, given the huge need for support, if there was enough funding available for Officers to be able to provide this. Claire White reported that the strategy that the Council intended to follow for schools in financial difficulty had been agreed by the Council's Operations Board and therefore the necessary funding was in place.

Paul Dick commended the report and that the strategy for improvement involved Headteachers.

Brian Jenkins asked for clarification on paragraph 6.7 which suggested that the possibility of charging the cost of support back to schools would need to be explored. He expressed his view that this would be unhelpful to school which were already struggling. Claire White reported that the Council's Operation's Board had asked for more information on charging schools. Ian Pearson added that this would only be considered once a school had balanced its budget.

Councillor Lynne Doherty referred to the very recent announcement from the Government regarding school funding and commented that efficiency offers and a central resource had been mentioned, both of which could be extremely helpful to schools.

**RESOLVED that** the Schools' Forum noted the report.

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### 23 DSG Monitoring Month 3 (Ian Pearson)

Ian Pearson drew attention to the report (agenda item 11) which set out the current financial position of the services funded by the Dedicated Schools Grant (DSG), highlighting any under and over spends.

Ian Pearson highlighted the current position of each of the blocks. There was no variance forecast for the Schools Block at that stage in the year.

Table 3 set out the current position of the early years block and there was no variance at that point in time. The early years block was very difficult to predict due to the volatile nature of both the early years block funding and payments to providers.

Table 4 set out the current position of the High Needs Block, which was also showing no variance. There was an agreed overspend in this area.

Ian Pearson concluded that there were currently no significant variances, though it was not usually until the autumn term that changes to high risk budgets such as the high needs top up and early years payments became apparent.

**RESOLVED that** the Schools' Forum noted the report.

### 24 Vulnerable Children's Fund - Annual Report for 2016/17

Ian Pearson presented the report (agenda item 12) on behalf on Michelle Sancho who was unable to attend the meeting. The purpose of the report was to give a review of the Vulnerable Children's Fund (VCF) for 2016/17.

The report had been requested by the Schools' forum and the VCF sat within the High Needs Block. The VCF was a highly appreciated, relatively small fund for small schools who experienced unexpected additional financial pressures due to in-year admissions of children with challenging behaviour. It was specifically devised to promote social inclusion, reduce exclusions and reduce the pressure on SEN budgets by providing temporary funding.

Ian Pearson reported that Table 1 of the report showed how the VCF had been utilised. Case studies were also provided at the back of the report using fictitious names.

Councillor Lynne Doherty referred to paragraph 3.3 and noted that only 13 schools had responded to a survey regarding the VCF. Councillor Doherty expressed the view that providing feedback should have been a condition of receiving the grant. Councillor Doherty felt that there was a lack in awareness of the grant and questioned how schools were made aware of its existence. Ian Pearson commented that most schools should be aware of how to access the fund and also had access to minutes of the Schools' Forum however, effort would be made to publicise the VCF further.

**RESOLVED that** the Schools' Forum noted the report.

### 25 Forward Plan

**RESOLVED that** the Schools' Forum noted the Forward Plan.

### 26 Any Other Business

There was no other business raised.

### 27 Date of the next meeting

The next meeting would take place on Monday 30<sup>th</sup> October 2017, 5pm at Shaw House.

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*(The meeting commenced at 5.00 pm and closed at 5.48 pm)*

**CHAIRMAN** .....

**Date of Signature** .....

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# Agenda Item 3

Ref No.	Date of meeting(s) raised	Item	Action	Responsible Officer	Comment / Update
Jan17-Ac2	19th June 2017 6th March 2017 23rd Jan 2017 5th Dec 2016 10th Oct 2016	Membership	Chris Prosser and David Ramsden would inform their respective Governing Bodies of the Secondary Governor vacancy on the Schools Forum.	Chris Prosser and David Ramsden	Action now complete - Helen Newman will become the new Secondary Governor representative from September 2017.

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## Dedicated Schools Grant (DSG) Budget 2018/19 - Overview

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**Report being considered by:** Schools Forum  
**On:** 30/10/2017  
**Report Author:** Claire White  
**Item for:** Discussion **By:** All Forum Members

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### 1. Purpose of the Report

- 1.1 To set out the changes to the calculation of the Dedicated Schools Grant (DSG) in 2018/19, and the implications of these changes on the Schools Budget.

### 2. Recommendation

- 2.1 To note the changes, the timetable, and decisions that will be required in the setting of the 2018/19 Schools Budget.

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

- 3.1 Over the last two years, the Government has carried out two consultations on their proposed changes to School and High Needs funding. The second stage consultations closed on 22 March 2017, and the results of these were published in September 2017.
- 3.2 The Government has now announced the funding arrangements for 2018/19. Following on from the consultations, there are a number of significant changes to the way the Dedicated Schools Grant (DSG) will be calculated for 2018/19.
- 3.3 There will be an additional funding block – Central Schools Services Block – which will sit alongside the existing three funding blocks of Schools, Early Years, and High Needs.
- 3.4 There is a new formula used to calculate the funding allocation for the Schools Block, Central School Services Block, and High Needs Block. A new formula for calculating Early Years was introduced from April 2017.
- 3.5 The rules around moving funding between blocks have changed.
- 3.6 This report summarises how each block will be calculated in 2018/19, and the likely impact of the estimated funding allocations on the 2018/19 budget. The actual allocations for 2018/19 will be announced by the Government mid December – though for Early Years and High Needs, these will be provisional, and the budgets for these blocks will need to be set using estimates.

## 4. Schools Block

- 4.1 The biggest change is the Schools Block – with the introduction of the National Funding Formula (NFF) from April 2018. For at least the next two financial years, it will be operated as a “soft” formula. This means that the local authority will still receive Schools Block DSG and will determine locally how this is then allocated to schools.
- 4.2 The schools block funding for 2018/19 is calculated as follows:
- The national funding formula at the national rates is run for each school. This is based on October 2016 census data and pupil numbers.
  - An area cost adjustment (ACA) is added to the total sum for each school (1.0341 for West Berkshire).
  - Each school is allocated as a minimum a 0.5% per pupil increase against their baseline or a 3% per pupil funding cap against their baseline (the baseline is the 2017/18 formula allocation plus formula funding for the pupil numbers in resource units added back in).
  - For primary schools, the minimum per pupil funding level in 2018/19 is set at £3,300, and for secondary £4,600 (all West Berkshire schools will be above this level). It is therefore possible that in the lowest funded local authorities the gains will be more than 3%.
  - The allocations for every school in the local authority are added up and divided by the October 2016 pupil numbers. This produces a Primary Unit of Funding (£3,875 PUF) and a Secondary Unit of Funding (£4,925 SUF). These units are now set for 2018/19.
  - In December 2017, the PUF and SUF will be multiplied by the October 2017 primary and secondary pupil numbers to produce the schools block DSG allocation.
  - A sum for growth funding is added (equal to the 2017/18 local authority budget plus or minus carry forward from 2016/17), to give the final DSG total.
- 4.3 The local authority in consultation with the Schools’ Forum will set aside funding required for the growth fund in 2018/19. The balance is then distributed to schools through the formula, by setting the formula funding rates and a minimum funding guarantee and funding cap on gains. The method of distributing the funding will need to go out to consultation with all schools and be agreed by Schools’ Forum in December, before being approved by the Council’s Executive in January.
- 4.4 With the agreement of Schools’ Forum, and subject to consulting with all schools, up to 0.5% of the total schools block funding can be transferred to the high needs budget or other funding blocks. Secretary of State approval is required for transfers above this limit or where the Schools’ Forum has opposed the transfer.
- 4.5 Overall, West Berkshire gains from the NFF by 1.3% or £1.3m, but the final allocation will be determined by the October 2017 census.



- 4.6 It will be impossible for the local authority to replicate exactly the national funding formula rates to schools for the following reasons:
- The funding rates (PUF and SUF) have been determined using October 2016 census data, whereas actual allocations to schools use October 2017 census data. If pupil characteristics (such as deprivation levels) have changed between the two census dates, this will create a surplus or shortfall to be adjusted for.
  - The amount of funding being received for the business rates element of the formula is based on historical amounts, whereas the funding allocated to schools will need to be the actual 2018/19 amounts – this is likely to be significantly more.
  - The amount of funding being received for growth and falling rolls funding is based on historical amounts. If the estimated requirement for 2018/19 is greater, this will need to be funded.
  - If there is a significant shortfall in high needs funding, up to 0.5% could be transferred from the schools block allocation.
- 4.7 Another report on this agenda gives further details of the proposals for the school formula.

## 5. Central Schools Services Block

- 5.1 The Central Schools Services Block is derived from the centrally retained services that were previously funded from the Schools Block, e.g. admissions, licences, servicing of Schools' Forum, Education Welfare.
- 5.2 A new formula is in place to determine funding allocations to local authorities. This is a per pupil amount, 10% of which is allocated according to relative deprivation levels.
- 5.3 The baseline for this block has been determined as follows:
- Total budget for these services in 2017/18
  - Less use of DSG funds in the schools block carried forward from 2016/17.
- 5.4 If the formula funding is less than the baseline, the minimum amount to be received will be the baseline less 2.5%.
- 5.5 The formula funding for West Berkshire is less than the baseline. Therefore the funding in 2018/19 will be less. However, the final allocation will depend on October 2017 pupil numbers, but at a rate of £44.22 per pupil the actual funding will not differ significantly from the current estimate.
- 5.6 The following table illustrates the impact:

2018/19 Baseline less 2.5%	£987,675
Less: 2017/18 Budget for central school services	£1,288,690
Possible shortfall	£301,015

5.7 Decisions will need to be taken in the Spring, on how this block can be balanced. One option will be to transfer DSG funding from the Early Years and High Needs block, on the basis that schools/pupils in these blocks benefit from the services in the Central Block. Transfers between these blocks are unlimited (subject to the Early Years pass through rate), but are subject to consultation with the Schools' Forum.

## 6. Early Years Block

- 6.1 The new Early Years formula was introduced in 2017/18. Arrangements have not yet been published regarding 2018/19. It is therefore assumed that the funding rates will remain the same, despite our continued concern that the area cost adjustment for West Berkshire used for the three and four year old formula is too low. The factors used in the formula to determine the funding rates are due to be updated on a regular basis, but no indication has been given on how frequent this will be or when this will next take place.
- 6.2 The funding will, as always, be based on two consecutive years of January census data, and be finalised three months after the close of the financial year. The requirement to manage shortfalls or surpluses on an annual basis due to the mismatch between funding received based on the January census, and allocations to providers based on actual provision of nursery hours during the year, continues to be a challenge.
- 6.3 The impact of funding allocated for the additional 15 hours against actual take up will also need to be managed, as will allocations for pupil premium grant and the Disability Access Fund.
- 6.4 The fixed sum allocation for maintained nursery schools has been guaranteed until 2019/20, but there is no news yet on what will happen beyond this date.
- 6.5 The deficit in the early years block carried forward to 2017/18 is due to be repaid over three years (i.e. in 2019/20). It is hoped that the indicative funding rates given to providers earlier this year for 2018/19 can be honoured, but this will need to be reviewed in the light of current year expenditure compared to forecast funding, in order to keep the deficit under control. All providers will need to be on a single rate for 2019/20.
- 6.6 In 2018/19, 5% of funding can be set aside for centrally retained services, which can include services to support early year's children with high needs, and transfers to other funding blocks.
- 6.7 The following table provides a summary of the original assumption for 2018/19 when the budget for 2017/18 was set:

2018/19 estimated DSG	£10,244,930
Less deficit carried forward	-£260,190
Less expenditure based on 2016/17 hours of provision (plus additional 15 hours)	-£10,057,280
Planned Deficit	£72,540

This assumes there are no transfers of funding to the Central Schools Block.

## 7. High Needs Block

7.1 A new formula has been introduced for allocating High Needs funding to local authorities in 2018/19.

7.2 The new formula uses a number of proxy factors (population, deprivation, low prior attainment, disability living allowance and children in bad health), but with 50% allocated on the basis of historical spend, and a basic entitlement for the number of places in special schools. Under this formula West Berkshire receive less than the current High Needs Block allocation. However, all local authorities will gain a minimum of 0.5% over their baseline.

7.3 Place numbers at special schools, and import/export adjustments will be excluded from the baseline, and will be an additional allocation, so that any year on year changes can be taken into account in the annual allocation.

7.4 The baseline for this block has been determined as follows:

- Total high needs block allocation in 2017/18
- Less the first £4,000 of resource unit place funding transferred to the Schools Block.

7.5 As West Berkshire is on the baseline, funding is calculated as follows:

- Baseline +0.5%
- Add pupil numbers (422 pupils x £4,209)
- Add import/export adjustment (143 x £6,000)

This adjustment is to reflect that the DSG funding is based on resident population rather than where pupils go to school/college. If a local authority is receiving more pupils from other local authority areas than are being sent to other local authority areas, (and vice versa) a funding adjustment is made.

7.6 The pupil number element will be based on the October 2017 census, whereas the import/export adjustment will use the January 2018 census and February 2018 ILR

data – the final allocation being provided *after* the budget for 2018/19 is required to be set. An estimate will therefore need to be made.

- 7.7 The High Needs Block was in deficit at the end of 2016/17. In setting the 2017/18 budget it was agreed to repay the deficit over a three year period. Assuming there are no significant increases to the overall cost base, the impact of the new funding will be as follows:

	<b>2018/19 budget assumed in March 2017</b>	<b>2018/19 budget taking into account the funding changes</b>
2018/19 estimated DSG	£20,060,000	£19,635,300
Less expected overspend in 2017/18	-£583,980	-£486,870
Less 2018/19 budget (taking into account adjustment for resource unit budget)	-£19,551,920	-£19,017,240
Deficit/Surplus	£75,900 deficit	£131,190 surplus

This assumes there are no transfers of funding to the Central Schools Block.

- 7.8 As in previous years, a place funding review needs to take place, with a deadline of 17<sup>th</sup> November for submitting changes to ESFA .
- 7.9 If Autumn forecasts indicate a rise in costs (in both 17/18 and 18/19) that are over and above the current surplus being indicated, a savings strategy will be required. This will include any changes to the i-College PRU charging structure.

## 8. Timetable for Setting the Budget

- 8.1 The timetable for setting all the elements of the DSG budget is set out below:

September to October 2017	Modelling of new primary & secondary school formula (once received national formula rates from ESFA)
26/28 September 2017	Leadership Forum briefing
October 2017	Key Council Members briefing/input to proposals
11 October 2017 (reports due 4 October 2017)	Heads Funding Group review school formula options and make recommendation to Schools' Forum.
17 October 2017	School Admin (finance staff) briefing
30 October 2017 (reports due 23 October 2017)	Schools' Forum to agree on formula to go out to consultation with schools.
1 – 20 November 2017 (14 working days)	Consultation with Schools
November	High needs initial budget proposals worked on by

	officers Early years initial budget proposals worked on by officers
28 November 2017 (reports due 21 November 2017)	Heads Funding Group review consultation responses and make a recommendation. Review high needs budget proposals.
5 December 2017 (reports due 28 November 2017)	Corporate Board – draft formula proposal. (Ahead of Schools’ Forum and final funding allocation but next date of 19 December is too late for OB)
11 December 2017 (reports due 4 December 2017)	Schools Forum consulted on school formula final proposals in principle (as prior to final funding). To agree de-delegations and funding/criteria for additional funds. Need to consult and agree to any funding block transfers. Review central schools, high needs, and early years budget proposals
Mid December 2017	DSG funding allocations and APT containing census data for final formula due from DfE (last year DSG was received 20th December and APT was received 15th December).
Mid December 2017	Finalisation by officers of formula and the funding rates in light of actual DSG funding
21 December 2017 (reports due 14 December 2017)	Operations Board – Final formula proposal based on final funding allocation
18 January 2018 (reports due 9 January 2018)	Executive – Approval of School Formula
19 January 2018	Deadline for submission of final School Formula APT to ESFA
10 January 2018 (reports due 3 January 2018)	Heads Funding Group review budget proposals for central schools, high needs, and early years in light of funding announcement.
22 January 2018 (reports due 15 January 2018)	Schools’ Forum review funding calculation and budget proposals for central schools, high needs, and early years. Agree budget strategy and determine any further work.
23 January to 20 February	Finalisation by officers of central schools, high needs, and early year’s budget proposals.
27 February 2018 (reports due 20 February 2018)	Heads Funding Group review final proposals and make recommendation to Schools’ Forum.
28 February 2018	Statutory deadline for providing primary and secondary maintained schools with their funding allocation (in practice this is late January).
12 March 2018 (reports due 5 March 2018)	Schools’ Forum to agree final budgets.

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## Schools Funding Formula 2018/19

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**Report being considered by:** Schools Forum  
**On:** 30/10/2017  
**Report Author:** Claire White  
**Item for:** Decision      **By:** All Forum Members

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### 1. Purpose of the Report

- 1.1 To set out the requirements for setting the primary and secondary school funding formula for 2018/19 and to set out the funding proposal to go out to consultation with all schools.

### 2. Recommendation(s)

- 2.1 Approve the following proposal for setting the school funding formula for 2018/19, to go out to consultation with schools:
- Use the National Funding Formula rates for every formula factor, applying a funding cap on gains of 3% per pupil and minimum funding guarantee of 0%.
  - Apply to the Secretary of State for Education to increase the minimum funding guarantee up to 0.5% should more funding be available.
  - Scale every formula factor upwards or downwards in order to match the final funding allocation available for distribution to schools.
- 2.2 Approve the consultation document and timescale for the consultation.

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

- 3.1 The Government has made a number of announcements over the summer and produced a number of policy and operational documents alongside the outcomes of the consultation on school funding. These documents can be found on this webpage: <https://www.gov.uk/government/policies/school-and-college-funding>
- 3.2 The funding arrangements for 2018/19 (including the introduction of the National Funding Formula for 2018/19) have been released by ESFA very late this year (the final piece of information needed in order to commence modelling was received early October). This gives limited time to review, model, and consult with all schools.
- 3.3 The biggest change following the consultation earlier this year is the announcement that nationally an additional £2.6billion is to go towards education funding over the next two years, rising to a total of £43.5 billion in 2019/20. Additional funding has been put into the National Funding Formula meaning that no school should lose on

a per pupil basis. For West Berkshire schools this is a significant improvement, as the previous proposal meant that around half of West Berkshire schools would have seen a reduction in funding.

- 3.4 Another paper on this agenda set out the changes to the DSG and how the schools block DSG will be calculated. For the next two years the National Funding Formula will operate as a “soft” system – this means that the local authority will receive a total allocation and then allocate this out to schools according to a local formula, which is determined after consulting with all schools and the Schools’ Forum.
- 3.5 The other paper also set out why it is impossible for local authorities to just replicate the National Funding Formula through its own local formula.

#### 4. Changes

- 4.1 The national formula assigns funding rates to each of the current formula factors. For some local authorities these will be uplifted by an area cost adjustment – for West Berkshire this is 1.0341.
- 4.2 In determining the pupil numbers and other pupil characteristics, the October census will continue to be used, but there is no longer a reception uplift applied (where pupils have deferred their place from September to January), and resource unit pupils are now included in the count (but the resource unit place funding is reduced from £10,000 to £6,000).
- 4.3 Table 1 sets out the national rates compared to West Berkshire’s current rates.

**Table 1: National Funding Formula Rates compared to West Berkshire Current rates**

Factor	National Rate	WBC National Rate (with ACA)	Current WBC Rate
<b>1.Basic Entitlement:</b>			
Primary	£2,747	£2,841	£2,945
Secondary KS3	£3,863	£3,995	£4,372
Secondary KS4	£4,386	£4,536	£4,372
<b>2.Deprivation:</b>			
Primary current FSM	£440	£455	£0
Primary FSM Ever 6	£540	£558	£875
Primary IDACI Band F (0.2 – 0.25)	£200	£207	£40
Primary IDACI Band E (0.25 – 0.3)	£240	£248	£120
Primary IDACI Band D (0.3 – 0.4)	£360	£372	£240
Primary IDACI Band C (0.4 – 0.5)	£390	£403	£240
Primary IDACI Band B (0.5 – 0.6)	£420	£434	£240
Primary IDACI Band A (over 0.6)	£575	£595	£240
Secondary current FSM	£440	£455	£0
Secondary FSM Ever 6	£785	£812	£670
Secondary IDACI Band F	£290	£300	£60
Secondary IDACI Band E	£390	£403	£180
Secondary IDACI Band D	£515	£533	£360
Secondary IDACI Band C	£560	£579	£360
Secondary IDACI Band B	£600	£620	£360
Secondary IDACI Band A	£810	£838	£360
<b>3.Prior Attainment:</b>			
Primary	£1,050	£1,086	£284



Secondary	£1,550	£1,603	£1,125
<b>4.English as an Additional Language:</b>			
Primary EAL 3	£515	£532	£345
Secondary EAL 3	£1,385	£1,432	£345
<b>5.Sparsity</b>			
Primary	£25,000	£25,852	£0
Secondary	£65,000	£67,216	£100,000
<b>6.Lump Sum:</b>			
Primary	£110,000	£113,747	£122,800
Secondary	£110,000	£113,747	£122,800
<b>7.Rates:</b>			
Primary	17/18 estimate		
Secondary	17/18 estimate		

4.4 It can be seen that for West Berkshire schools there is a shift in funding from basic entitlement and lump sum funding to additional needs funding. Annex A of Appendix A shows for each school a breakdown per formula factor using the national funding formula rates. The schools that gain funding are generally those with the following characteristics:

- High number of pupils from deprived backgrounds (particularly those on the IDACI bands).
- High number of pupils with low prior attainment.
- Small rural school meeting the sparsity criteria – the pupils live more than two miles from their next nearest school.

4.5 The following explains why there is this shift for some factors:

- West Berkshire is ranked one of the lowest in terms of deprivation, which was replicated in lower relative funding when the DSG was first put in place – the funding received did not recognise the needs of pupils which this new formula is now addressing.
- When the current West Berkshire formula was set in 2013 it was a School Forum decision that the prior attainment factor for primary schools was not, on its own, a reasonable proxy factor for additional need, and so more funding was added to the AWPU and deprivation.
- It has been a School Forum decision not to use the sparsity factor for primary schools, as most of our small schools fall just outside the criteria and it was felt unfair that just a few would gain and at the expense of the others.

4.6 The national formula delivers a minimum increase of 0.5% per pupil in the DSG being allocated to the local authority. For schools that gain, a funding cap of 3% per pupil has been set for 2018/19. These increase to 1% and 6% respectively in 2019/20.

4.7 There will be a minimum per pupil funding level of £3,300 for primary and £4,600 for secondary (this will go up in 2019/20 to £3,500 for primary and £4,800 for secondary). It is therefore possible to gain more than 3% per pupil, but all West

Berkshire schools will be on at least this level without this factor added. Note that this calculation is based on **all** formula funding including the lump sum, it is **not** the basic entitlement.

## 5. Funding

- 5.1 Based on the October 2016 census data and pupil numbers, the schools block DSG would be £97.5m. Growth funding and increases in business rates would need to be deducted, with the balance available to allocate to schools. There is no intention to move funding from this block to any other block:

Schools block DSG	£97,518,000
Less Growth Funding	-£200,000
Less increase in Business Rates	-£200,000
<b>Balance available to allocate</b>	<b>£97,118,000</b>

- 5.2 This figure could go up or down depending on the changes in pupil numbers in the October 2017 census.
- 5.3 The amount of funding required to allocate to schools using the national formula rates could also go up or down, not just in proportion to changes in pupil numbers, but if pupil characteristics used in other formula factors have significantly changed compared to October 2016 (because the funding being received does not recognise this change).
- 5.4 In addition to agreeing on the funding formula, a decision needs to be taken on how to allocate any surplus or shortfall, as the final funding will not be known until mid December and after the consultation with schools has taken place.

## 6. Proposals

- 6.1 It remains a local authority decision (for at least the next two years) on how the funding is allocated to schools through the formula factors. There is no requirement to stick to the national funding formula rates, or to use all the factors.
- 6.2 Although it will be almost impossible to replicate the national funding formula as shown in the DfE tables for each school, it is proposed that in principle the aim will be to move as close as possible to the national rates, using all the formula factors, and using the highest minimum funding guarantee possible, and applying the 3% per pupil cap on gains. There is no advantage in doing anything different; this will give schools certainty in funding allocations in future years, the minimum funding guarantee will protect schools that lose, and schools that gain should receive this funding as soon as possible. All Heads Funding Group agreed on this principle.
- 6.3 This model (using 0% minimum funding guarantee) is shown in Annex C of Appendix A. The cost of this model is £96,972k. The impact is as follows:

	Primary	Secondary
No. of schools gaining nil	21	4
Gains £1k to £5k	9	0
Gains £5k to £15k	15	1
Gains £15k to £30k	16	0
Gains over £30k	5	5
Highest Gain	£39,628	£70,377
Average Gain	£10,634	£25,025

- 6.4 The minimum funding guarantee that can be set in the school formula is between 0% to -1.5%; if the local authority wishes to set a minimum funding guarantee of between 0% and +0.5%, an application needs to be made to the Secretary of State for Education, following a consultation with schools and subject to Schools' Forum approval. Heads Funding Group felt that due to current funding shortfalls in all schools, if funding was available, all schools should see an increase in the per pupil funding, no matter how small, and is proposing that this option be pursued.
- 6.5 If there is enough funding to allow a minimum funding guarantee of 0.5%, this is shown in Annex D of Appendix A. The cost of this model is £97,127k so could be affordable. The impact is as follows:

	Primary	Secondary
No. of schools gaining nil	0	0
Gains £1k to £5k	29	1
Gains £5k to £15k	16	1
Gains £15k to £30k	16	3
Gains over £30k	5	5
Highest Gain	£39,628	£86,720
Average Gain	£11,495	£34,828

- 6.6 Heads Funding Group also looked at a model which showed setting funding rates for each formula factor at half way between current rates and national formula rates. Interestingly, this was the least favourable for schools, showing that the national formula rates do benefit the majority of our schools.

6.7 Any surplus or shortfall in funding has to be allocated through the formula factors. Heads Funding Group looked at options for adding additional funding through the basic entitlement, lump sum, or increasing the cap on gains. There was no consensus as in each scenario certain groups of schools gained at the expense of others. The agreed proposal is that the funding rates for all formula factors be scaled upwards or downwards in order to match the final funding allocation. This is because:

- It is fair and equitable for all schools – no particular type of school is advantaged or disadvantaged.
- It is logical – the area cost adjustment is applied to every formula factor, so it makes sense to add or remove funding in the same way.
- It keeps the funding for all factors in the same proportion to the national funding rates and thus in proportion to the relative needs of pupils in each school.
- It will make setting of the 2019/20 formula more straightforward, rather than having to address any anomalies that may have arisen, and which could cost more in minimum funding guarantee in future years.

## 7. Next Steps

- 7.1 A consultation document will go out to schools containing these proposals. The document is set out in Appendix A for approval.
- 7.2 The consultation will last for three weeks, and the results will be brought back to the next Heads Funding Group to review before determining a final proposal to take to the December meeting of the Schools' Forum for approval. The Council's Executive will make the final decision in January. The formula has to be submitted to ESFA by 19<sup>th</sup> January 2018.
- 7.3 The consultation will also ask schools their views on the criteria currently used for additional funds, and on de-delegations. Final proposals on these will also come back to Schools' Forum for final decision in December.

## 8. Appendices

Appendix A – Primary and Secondary Schools Funding – Proposed Funding Arrangements for 2018/19: Briefing and Consultation Document for Schools

# Primary and Secondary Schools Funding Proposed Funding Arrangements for 2018/19

## Briefing & Consultation Document for Schools November 2017

### 1. Introduction

1.1 The Department for Education (DfE) has held two consultations since March 2016, with the intention of reforming school funding and introducing a National Funding Formula (NFF). The premise is that all schools will be funded on the same basis and pupils with similar characteristics and similar needs will attract similar levels of funding regardless of where they live. This means that the funding rates for each of the current formula factors will be set nationally rather than by each individual local authority. In order to achieve this, funding would shift from higher funded local authorities to the lower funded ones.

1.2 Under the Government's proposals for a NFF set out in the second stage consultation earlier this year, West Berkshire overall did not gain additional funding, but funding moved between schools due to the national weightings of each factor being different to the West Berkshire rates. This meant just under half of West Berkshire schools gained funding, and just over half lost.

1.3 Various announcements have been made by the Secretary of State for Education over the summer. In September 2017, the outcomes of the second stage consultation were published alongside policy and operational documents relating to the 2018 schools budget, and the implementation of the NFF from April 2018. These can be accessed on this webpage:

<https://www.gov.uk/government/publications/national-funding-formula-for-schools-and-high-needs>

1.4 Following numerous representations that there was not enough funding in the system, the Government is adding an additional £2.6 billion into education funding over the next two years, rising to a total of £43.5 billion in 2019/20. Additional funding is therefore being put into the NFF including protecting schools that were due to lose, so that no school should lose funding on a per pupil basis compared to their baseline.

1.5 For at least the next two years, the formula will operate as a "soft" formula. This means that the Government will allocate funding based on the NFF to each local authority, and the decision will be taken locally on how best to

allocate this funding to schools through the factors. A “hard” formula means that schools will receive their funding allocations direct from the Government using the NFF rates.

- 1.6 The method of distributing the funding will need to go out to consultation with all schools and be agreed by Schools’ Forum in December, before being approved by the Council’s Executive in January.
- 1.7 This document provides a briefing on the proposed local arrangement for 2018/19. Schools are invited to make comments on five specific areas, as highlighted in boxes within the text. Please e-mail your response to Claire White, Schools’ Finance Manager [claire.white@westberks.gov.uk](mailto:claire.white@westberks.gov.uk) by **20<sup>th</sup> November 2017**. In order for the Schools’ Forum to consider a suggestion for change, it should be accompanied by clear rationale on why your proposal is a better solution and fair and equitable for all schools in West Berkshire Council (WBC), and not just for your own individual school. You should also check that it falls within the current funding regulations.

## 2. The National Funding Formula

- 2.1 The national formula assigns funding rates to each of the current formula factors. For some local authorities these are uplifted by an area cost adjustment. For West Berkshire this is 1.0341.
- 2.2 In determining the pupil numbers and other pupil characteristics, the October census will continue to be used, but there is no longer a reception uplift applied (where pupils have deferred their place from September to January), and resource unit pupils are now included in the count (though the resource unit place funding is reduced from £10,000 to £6,000).
- 2.3 Table 1 sets out the national rates compared to West Berkshire’s current rates.

**Table 1: National Funding Formula Rates compared to West Berkshire Current rates**

Factor	National Rate 2018/19	WBC National Rate (with ACA added)	Current WBC Rate 2017/18
<b>1.Basic Entitlement:</b>			
Primary	£2,747	£2,841	£2,945
Secondary KS3	£3,863	£3,995	£4,372
Secondary KS4	£4,386	£4,536	£4,372
<b>2.Deprivation:</b>			
Primary current FSM	£440	£455	£0
Primary FSM Ever 6	£540	£558	£875
Primary IDACI Band F (0.2 – 0.25)	£200	£207	£40
Primary IDACI Band E (0.25 – 0.3)	£240	£248	£120
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Primary IDACI Band A (over 0.6)	£575	£595	£240
Secondary current FSM	£440	£455	£0

Secondary FSM Ever 6	£785	£812	£670
Secondary IDACI Band F	£290	£300	£60
Secondary IDACI Band E	£390	£403	£180
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Secondary IDACI Band B	£600	£620	£360
Secondary IDACI Band A	£810	£838	£360
<b>3.Prior Attainment:</b>			
Primary	£1,050	£1,086	£284
Secondary	£1,550	£1,603	£1,125
<b>4.English as an Additional Language:</b>			
Primary EAL 3	£515	£532	£345
Secondary EAL 3	£1,385	£1,432	£345
<b>5.Sparsity</b>			
Primary	£25,000	£25,852	£0
Secondary	£65,000	£67,216	£100,000
<b>6.Lump Sum:</b>			
Primary	£110,000	£113,747	£122,800
Secondary	£110,000	£113,747	£122,800
<b>7.Rates:</b>			
Primary	17/18 estimate		17/18 actual
Secondary	17/18 estimate		17/18 actual

2.4 Note that the national rates have not been determined by an assessment of 'need' but by an assessment of the fairest weighting of funding between factors according to funding available.

2.5 It can be seen that for West Berkshire schools there is a shift in funding from basic entitlement and lump sum funding to additional needs funding. **Annex A** shows for each school a breakdown per formula factor using the national funding formula rates. The schools that gain funding are generally those with the following characteristics:

- High number of pupils from deprived backgrounds (particularly those on the IDACI bands).
- High number of pupils with low prior attainment.
- Small rural school meeting the sparsity criteria – the pupils live more than two miles from their next nearest school.

2.6 The following explains why there is this shift for some factors:

- West Berkshire is ranked one of the lowest in terms of deprivation, which was replicated in lower relative funding when the DSG was first put in place – the funding received did not recognise the needs of pupils which this new formula is now addressing.
- When the current West Berkshire formula was set in 2013 it was a School Forum decision that the prior attainment factor for primary

schools was not, on its own, a reasonable proxy factor for additional need, and so more funding was added to the AWPU and deprivation.

- It has been a School Forum decision not to use the sparsity factor for primary schools, as most of our small schools fall just outside the criteria and it was felt unfair that just a few would gain and at the expense of the others.

2.7 The national formula delivers a minimum increase of 0.5% per pupil in the DSG being allocated to the local authority. For schools that gain, a funding cap of 3% per pupil has been set for 2018/19. These increase to 1% and 6% respectively in 2019/20.

2.8 There will be a minimum per pupil funding level of £3,300 for primary and £4,600 for secondary (this will go up in 2019/20 to £3,500 for primary and £4,800 for secondary). It is therefore possible to gain more than 3% per pupil, but all West Berkshire schools will be on at least this level without this factor added. Note that this calculation is based on **all** formula funding including the lump sum, it is **not** the basic entitlement.

### **3. Funding Available to be Allocated to Schools**

3.1 Funding for schools is allocated to the local authority through the Dedicated Schools Grant (DSG). The grant is split into three funding blocks - schools, early years, and high needs. From 2018/19 there will be a fourth block, central school services, which is for the centrally retained services previously funded from the schools block (such as licences, admissions, education welfare). Thus, from 2018/19 the schools block will only be for primary and secondary school formula allocations, plus growth funding for new or growing schools (as such pupils are not included in the funding allocation as they did not exist in the previous October census).

3.2 The schools block is not however ring fenced, and up to 0.5% can be transferred to other funding blocks subject to consultation with all schools and Schools' Forum agreement. Secretary of State approval is required for transfers above this limit or where the Schools' Forum has opposed the transfer

3.3 The schools block funding for 2018/19 is calculated as follows:

- The national funding formula at the national rates is run for each school. This is based on October 2016 census data and pupil numbers.
- An area cost adjustment (ACA) is added to the total sum for each school (1.0341 for West Berkshire).
- Each school is allocated as a minimum a 0.5% per pupil increase against their baseline or a 3% per pupil funding cap against their baseline (the baseline is the 2017/18 formula allocation plus formula funding for the pupil numbers in resource units added back in).
- For primary schools, the minimum per pupil funding level in 2018/19 is set at £3,300, and for secondary £4,600.



- The allocations for every school in the local authority are added up and divided by the October 2016 pupil numbers. This produces a Primary Unit of Funding (£3,875 PUF) and a Secondary Unit of Funding (£4,925 SUF). These funding units are now set for 2018/19.
- In December 2017, the PUF and SUF will be multiplied by the October 2017 primary and secondary pupil numbers to produce the schools block DSG allocation.
- A sum for growth funding is added (equal to the 2017/18 local authority budget plus or minus carry forward from 2016/17), to give the final DSG total.

3.4 The local authority in consultation with the Schools' Forum will set aside funding required for the growth fund in 2018/19. The balance is then distributed to schools through the formula, by setting the formula funding rates and a minimum funding guarantee and funding cap on gains.

3.5 Overall, West Berkshire gains from the NFF by 1.3% or £1.3m, but the final allocation will be determined by the October 2017 census.

3.6 It will be impossible for the local authority to replicate exactly the national funding formula rates to schools for the following reasons:

- The funding rates (PUF and SUF) have been determined using October 2016 census data, whereas actual allocations to schools use October 2017 census data. If pupil characteristics (such as deprivation levels) have changed between the two census dates, this will create a surplus or shortfall to be adjusted for.
- The amount of funding being received for the business rates element of the formula is based on historical amounts, whereas the funding allocated to schools will need to be the actual 2018/19 amounts – this is likely to be significantly more.
- The amount of funding being received for growth and falling rolls funding is based on historical amounts. If the estimated requirement for 2018/19 is greater, this will need to be funded.
- If there is a significant shortfall in high needs funding, up to 0.5% could be transferred from the schools block allocation.

3.7 Based on the October 2016 census data and pupil numbers, the schools block DSG would be £97.5m. Growth funding and increases in business rates would need to be deducted, with the balance available to allocate to schools. There is no intention to move funding from this block to any other block:

Schools block DSG	£97,518,000
Less Growth Funding	-£200,000
Less increase in Business Rates	-£200,000
<b>Balance available to allocate</b>	<b>£97,118,000</b>

3.8 This figure could go up or down depending on the changes in pupil numbers in the October 2017 census.

3.9 The amount of funding required to allocate to schools using the national formula rates could also go up or down, not just in proportion to changes in pupil numbers, but if pupil characteristics used in other formula factors have significantly changed compared to October 2016 (because the funding being received does not recognise this change).

3.10 In addition to agreeing on the funding formula, a decision needs to be taken on how to allocate any surplus or shortfall. The final funding will not be known until mid December and after the consultation with schools has taken place.

#### 4. Proposal for 2018/19 Formula and Funding Rates

4.1 **Annex B** is an extract from the Government's school revenue funding operations guide, detailing the allowable funding factors for 2018/19. The main changes compared to 2017/18 are:

- Removal of Reception Uplift in the national formula.
- Use of Free School Meals factor *in addition to* Free School Meals Ever 6.
- Removal of Looked After Children factor in the national formula (not used by West Berkshire).
- A funding floor added into the sparsity factor.
- Mobility factor only available to those LAs currently using it.

4.2 It remains a local authority decision (for at least the next two years) on how the funding is allocated to schools through the formula factors. There is no requirement to stick to the national funding formula rates, or to use all the factors. However, it is the Government's intention that from 2020/21 all schools will be on the NFF.

4.3 Although it will be almost impossible to replicate exactly the national funding formula as shown in the DfE tables for each school, it is proposed that in principle the aim will be to move as close as possible to the national rates, using all the formula factors, and using the highest minimum funding guarantee possible and applying the 3% per pupil cap on gains. There is no advantage in doing anything different; this gives schools certainty in their funding allocations in future years, the minimum funding guarantee will protect schools that lose, and schools that gain should receive this funding as soon as possible. All Heads Funding Group agreed on this principle.

4.4 This model (using 0% minimum funding guarantee) is shown in **Annex C**. The cost of this model is £96,972k. The impact is as follows:

	Primary	Secondary
No. of schools gaining nil	21	4
Gains £1k to £5k	9	0
Gains £5k to £15k	15	1
Gains £15k to £30k	16	0
Gains over £30k	5	5
Highest Gain	£39,628	£70,377
Average Gain	£10,634	£25,025

4.5 The minimum funding guarantee that can be set in the school formula is between 0% to -1.5%; if the local authority wishes to set a minimum funding guarantee of between 0% and +0.5%, an application needs to be made to the Secretary of State for Education, following a consultation with schools and subject to Schools' Forum approval. Heads Funding Group felt that due to current funding shortfalls in all schools, if funding was available, all schools should see an increase in the per pupil funding, no matter how small, and is proposing that this option be pursued.

4.6 If there is enough funding to allow a minimum funding guarantee of 0.5%, this is shown in **Annex D**. The cost of this model is £97,127k so could be affordable. The impact is as follows:

	Primary	Secondary
No. of schools gaining nil	0	0
Gains £1k to £5k	29	1
Gains £5k to £15k	16	1
Gains £15k to £30k	16	3
Gains over £30k	5	5
Highest Gain	£39,628	£86,720
Average Gain	£11,495	£34,828

4.7 Heads Funding Group also looked at a model which showed setting funding rates for each formula factor at half way between current rates and national formula rates. Interestingly, this was the least favourable for schools, showing that the national formula rates do benefit the majority of our schools.

4.8 Any surplus or shortfall in funding has to be allocated through the formula factors. Heads Funding Group looked at options for adding additional funding through the basic entitlement, lump sum, or increasing the cap on gains. There was no consensus as in each scenario certain groups of schools gained at the expense of others. The agreed proposal is that the funding rates for all formula factors be scaled upwards or downwards in order to match the final funding allocation. This is because:

- It is fair and equitable for all schools – no particular type of school is advantaged or disadvantaged.
- It is logical – the area cost adjustment is applied to every formula factor, so it makes sense to add or remove funding in the same way.
- It keeps the funding for all factors in the same proportion to the national funding rates and thus in proportion to the relative needs of pupils in each school.
- It will make setting of the 2019/20 formula more straightforward, rather than having to address any anomalies that may have arisen, and which could cost more in minimum funding guarantee in future years.

4.9 The models assume no change in pupil numbers, and thus illustrate the impact of introducing the NFF. Actual individual school allocations will be dependent on the October 2017 census data. The model using 0% minimum funding guarantee (**Annex C**) is also available as a spreadsheet, and by entering the school cost centre in the orange box of the “school sheet” tab this will display in detail the formula allocation for the school alongside the current funding received for each factor. Schools can also enter their actual pupil numbers for October 2017 (yellow boxes) to see their likely funding for 2018/19 and beyond based on this model. The sheets do not include any high needs funding for individual pupils i.e. top ups, which is paid outside the formula, as top up funding is variable and follows the pupil.

1. Do you agree that West Berkshire should move straight to the national funding formula rates for every factor, applying a minimum funding guarantee of 0% and funding cap on gains of 3% (as shown in Table 1 and Annex C)? If not, please let us know with your reasons why.

2. Do you agree that if there is additional funding available the minimum funding guarantee should be set between 0% and 0.5% according to affordability i.e. this will mean that every school will receive a minimum of up to 0.5% per pupil? If not, please let us know with your reasons why.

3. Do you agree that any shortfall or surplus in funding is addressed by scaling all formula factors downwards or upwards? If not, please let us know with your reasons why.

## 5. Additional Funding Outside the School Formula

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

<http://info.westberks.gov.uk/index.aspx?articleid=31483>.

5.2 The funds are as follows:

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

5.3 As funding for the Growth Fund and Falling Rolls fund is top sliced from the schools block DSG, this impacts on the funding available to allocate out to all schools through the formula.

5.4 Bearing this in mind, it is proposed that the Falling rolls Fund is no longer operated. This is because not many other local authorities make use of such a fund and payments are made based on an assumption of future pupil numbers which may or may not materialise. In four years just one school has qualified, yet the pupil numbers for this particular school are now no longer forecast to increase at the number assumed.

5.5 No changes are proposed to the criteria for the Growth Fund and for schools with disproportionate number of high needs pupils. It is proposed that the funding set aside for the Growth Fund is based on a realistic assumption of need in 2018/19.

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

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

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

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

## 6. De-delegations 2018/19 (maintained schools only)

6.1 From 2013/14 schools received funding for newly delegated central services. For some services (where offered by the local authority), maintained primary and secondary schools can collectively opt for the service to be de-delegated – which means that the funding is deducted from the formula allocation and continues to be centrally retained for the benefit of all maintained primary and secondary schools, and individual schools cannot make that choice for themselves (Academies may be given the option to buy into the service, as can Nursery schools, Special schools and PRUs). From 2017/18, statutory services previously funded by the Education Services Grant were also added, and the de-delegation for these services relate to all maintained schools. The de-delegations need to be re-determined on an annual basis.

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

- Behaviour Support Service
- Support to underperforming ethnic minority groups and bilingual learners
- Trade Union Local Representation
- Contingency for schools in financial difficulty (primary schools only)
- CLEAPSS
- Statutory & Regulatory duties (health & safety, internal audit, statutory accounting, pensions administration)

6.3 Information about these services were included in a report to the Schools' Forum on 30<sup>th</sup> October 2017, agenda item 9, which can be viewed on this website:

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

The amounts to be deducted from each school for 2018/19 will be different to those shown in the report, as they will be based on the October 2017 census data (the current exemplification is based on the October 2016 census).

6.4 It is proposed to widen the criteria for primary schools to access the schools in financial difficulty fund. The proposal is for schools not in deficit but required to restructure to avoid going into deficit, to be eligible to apply for reimbursement of the one off redundancy cost. This will still be subject to the same application and scrutiny process. It is felt by Heads that those who forward plan their restructures and avoid going into deficit are then disadvantaged by not being able to access this fund

6.5 The final decision on each de-delegation will be made by the relevant Schools' Forum Members for each phase on 11<sup>th</sup> December 2017. Schools may wish to contact their Schools' Forum representative direct to express their view, or respond as part of this consultation.

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

## 7. Timetable

7.1 The timetable for determining the school formula and schools budgets for 2018/19 is as follows:

Schools' Forum to review the 2018/19 school formula arrangements and agree on a proposal.	30 <sup>th</sup> October 2017
Briefing document to schools – with opportunity given to make comments on the proposals.	1 <sup>st</sup> to 20 <sup>th</sup> November 2017
Heads Funding Group to consider the responses from schools and make a recommendation to Schools' Forum.	28 <sup>th</sup> November 2017
Apply to Secretary of State to increase MFG up to 0.5%	By 30 <sup>th</sup> November 2017
Schools' Forum to agree on the formula and preferred funding rates to recommend to the Council. Vote taken on de-delegations and the criteria agreed for accessing the additional funds.	11 <sup>th</sup> December 2017
October census data issued by the DfE and final DSG funding allocation for schools and high needs blocks received. Final school formula rates determined according to funding available.	Mid December
Formal Political approval received.	Executive 18 <sup>th</sup> January 2018
2018/19 formula submitted to Education & Skills Funding Agency.	19 <sup>th</sup> January 2018
Schools' Forum to consider the overall DSG position and remaining budgets for all funding blocks.	22 <sup>nd</sup> January 2018
Confirmation of final budget allocations to maintained schools	By end of January 2018 (statutory deadline 28 <sup>th</sup> February 2018)
Schools' Forum to decide on the final budget for all DSG funding blocks	12 <sup>th</sup> March 2018

### Annexes

Annex A – West Berkshire Schools - National Funding Formula Compared to Current WBC Formula - Funding per Factor

Annex B – Funding Factors 2018/19 – Extract from ESFA Operational Guide

Annex C – Proposed Formula 2018/19 - Exemplification for Individual Schools (also provided as separate spreadsheet for schools to see their own formula budget allocation detail and for their own modelling purposes)

Annex D – Formula Using 0.5% Minimum Funding Guarantee (preferred option if funding available)

Funding Per Pupil: NFF compared to WBC Formula (Prior to MFG & Cap)

Table with columns: Cost Centre, SCHOOL, Pupil No's (Oct 2016), AWPU (2017/18 Budget, 2018/19 NFF, Change In Funding), Deprivation (2017/18 Budget, 2018/19 NFF, Change In Funding), Prior Attainment (2017/18 Budget, 2018/19 NFF, Change In Funding), English as an Additional Language (2017/18 Budget, 2018/19 NFF, Change In Funding), SUB TOTAL - PUPIL LED FUNDING (2017/18 Budget, 2018/19 NFF, Change In Funding), Lump Sum (2017/18 Budget, 2018/19 NFF, Change In Funding), Sparsity (2017/18 Budget, 2018/19 NFF, Change In Funding), Rates (Funded at Cost), SUB TOTAL - CHANGE BEFORE MFG & CAP (2017/18 Budget, 2018/19 NFF, Change In Funding).

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# Annex B

## Funding Factors 2018/19 – Extract from ESFA Operational Guide

Funding Factor	Description and further information
<p><b>1. Basic entitlement</b> A compulsory factor</p>	<p>This factor assigns funding on the basis of individual pupils, with the number of pupils for each school or academy based on the October pupil census.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> funding is allocated according to an age-weighted pupil unit (AWPU)</li> <li><input type="checkbox"/> there is a single rate for primary age pupils, which must be at least £2,000</li> <li><input type="checkbox"/> there can be different rates for KS3 and KS4, with a minimum of £3,000 for each</li> <li><input type="checkbox"/> local authorities can choose to increase the pupil number count for schools with higher reception pupil numbers in January 2017 than the October 2016 census</li> <li><input type="checkbox"/> we'll not include reception uplift in the national funding formula; local authorities currently using a reception uplift factor should consider whether to do so in 2018 to 2019</li> <li><input type="checkbox"/> schools with reception uplift will not be financially disadvantaged in the national funding formula calculations, as the funding will remain in their baselines</li> </ul>
<p><b>2. Deprivation</b> A compulsory factor</p>	<p>Local authorities can use free school meals (FSM), the income deprivation affecting children index (IDACI), or both to calculate the deprivation factor.</p> <p>We measure eligibility for current FSM using the previous October census, and Ever6 FSM (pupils entitled to free meals at any time in the last 6 years) from the previous January census</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> local authorities using FSM to calculate deprivation can choose to use either current FSM, Ever6 FSM, or both</li> <li><input type="checkbox"/> the IDACI measure uses 6 bands, and different values can be attached to each band; different unit values can be used for primary and secondary within each band</li> <li><input type="checkbox"/> we'll automatically set the FSM Ever6 ratio equal to the current FSM ratio for schools where the FSM Ever6 rate is recorded as lower than the current FSM rate</li> </ul>
<p><b>3. Prior attainment</b> An optional factor (used by most local authorities)</p>	<p>The prior attainment factor acts as a proxy indicator for low level, high incidence, special educational needs.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> we'll confirm a separate weighting for new year 7 pupils later in the year</li> </ul>

	We've included more information in the prior attainment section of this guidance
<b>4. Looked-after children (LAC)</b> An optional factor	Local authorities can apply a single unit value for any child who has been looked after for one day or more, as recorded on the LA SSDA903 return at 31 March 2017. <ul style="list-style-type: none"> <li><input type="checkbox"/> we map this data to schools using the January school census, to identify the number of LAC in each school or academy</li> <li><input type="checkbox"/> we've increased the pupil premium plus rates for 2018 to 2019 from £1900 to £2300</li> <li><input type="checkbox"/> we've not used a LAC factor in the national funding formula; local authorities currently using this factor should consider whether to do so in 2018 to 2019</li> </ul>
<b>5. English as an additional language (EAL)</b> An optional factor	Pupils identified in the October census with a first language other than English may attract funding for up to three years after they enter the statutory school system. <ul style="list-style-type: none"> <li><input type="checkbox"/> local authorities can choose to use indicators based on one, two, or three years, and there can be separate unit values for primary and secondary</li> </ul>
<b>6. Pupil mobility</b> An optional factor	This measure counts pupils who entered a school during the last three academic years, but did not start in August or September (or January for reception pupils). <ul style="list-style-type: none"> <li><input type="checkbox"/> there is a 10% threshold, and funding is allocated based on the proportion above the threshold (for example, a school with 12% mobility, will attract pupil mobility funding for 2% of pupils)</li> </ul>
<b>7. Sparsity</b> An optional factor	Schools that are eligible for sparsity funding must meet two criteria: <ul style="list-style-type: none"> <li><input type="checkbox"/> they are located in areas where pupils would have to travel a significant distance to an alternative should the school close</li> <li><input type="checkbox"/> they are small schools</li> </ul> <p>We've included more information in the sparsity section of this guidance.</p>
<b>8. Lump sum</b> An optional factor (used by all local authorities)	Local authorities can set a flat lump sum for all phases, or differentiate the sums for primary and secondary. <ul style="list-style-type: none"> <li><input type="checkbox"/> local authorities should give middle schools a weighted average, based on the number of year groups in each phase</li> <li><input type="checkbox"/> the maximum lump sum is £175,000, even for schools that receive London fringe uplift</li> </ul>

	We've included more information in the lump sum section of this guidance, including information for amalgamated schools.
<b>9. Split sites</b> An optional factor	<p>The purpose of this factor is to support schools that have unavoidable extra costs because the school buildings are on separate sites.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> allocations must be based on objective criteria for the definition of a split site, and for how much is paid</li> </ul> <p>We've included more information in the split sites section of this guidance</p>
<b>10. Rates</b> An optional factor (used by all local authorities)	<p>Local authorities must fund rates at their estimate of the actual cost.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> local authorities can make adjustments to rates during the financial year, but this must be done outside of the funding formula</li> <li><input type="checkbox"/> for example, an additional allocation could be made to a school (funded by balances brought forward)</li> <li><input type="checkbox"/> this should be reflected in the Section 251 outturn statement, and in each school's accounts</li> <li><input type="checkbox"/> the effect on the school would be zero, since any rates adjustment will be offset by a change in the cost of the rates</li> </ul>
<b>11. Private finance initiative (PFI) contracts</b> An optional factor	<p>The purpose of this factor is to support schools that have unavoidable extra premises costs (because they are a PFI school), and to cover situations where the PFI 'affordability gap' is delegated and paid back to the local authority.</p> <p>We've included more information in the PFI section of this guidance.</p>
<b>12. London fringe</b> An optional factor, applicable only for five local authorities (Buckinghamshire, Essex, Hertfordshire, Kent, and West Sussex)	<p>The purpose of this factor is to support schools that have to pay higher teacher salaries because they are in the London fringe area, and only part of the local authority is in this area.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> This factor is applied as a multiplier of 1.0156 to the 6 pupil-led factors, the lump sum factor, and the sparsity factor</li> </ul> <p>We've provided details of these calculations in the technical specification for the schools block dataset.</p>
<b>13. Exceptional premises factors</b> An optional factor	Local authorities can apply to ESFA to use exceptional factors relating to school premises (for example, for rents, or joint-use

	<p>sports facilities).</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> exceptional factors must relate to premises costs</li> <li><input type="checkbox"/> local authorities should only submit applications where the value of the factor is more than 1% of a school's budget, and applies to fewer than 5% of the schools in the authority's area</li> <li><input type="checkbox"/> local authorities can use exceptional premises factors used in 2017 to 2018 (for pre-existing, and newly-qualifying schools) in 2018 to 2019, if the qualification criteria are still met</li> </ul>
<p><b>14. Minimum level of per pupil funding for secondary schools</b> An optional factor</p>	<p>The purpose of this factor is to allow local authorities to provide amounts up to the minimum per pupil funding levels for primary and secondary schools.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The formula will provide local authorities with per-pupil funding of at least £3,500 for primary schools and £4,800 for secondary schools with pupils in years 10 and 11 in 2019 to 2020</li> <li><input type="checkbox"/> The formula will provide a transitional minimum amount of per pupil funding of at least £3,300 for primary schools and £4,600 for secondary schools in 2018 to 2019, as a step towards the £3,500 and £4,800 in 2019 to 2020.</li> <li><input type="checkbox"/> Where local authorities choose to use this factor, any capping and scaling cannot take the school below the minimum value set in the local formula</li> <li><input type="checkbox"/> Local authorities should calculate the minimum per pupil level on the basis of the school's total funding. This will be set out in the APT guidance. Local authorities who wish to reflect the NFF calculation by excluding premises factors that have been excluded from the NFF calculation should submit a disapplication request to agree this change.</li> </ul> <p>We've included more information on the setting a minimum per pupil amount for schools section of this guidance.</p>
<p><b>Required proportion of funding allocated through pupil-led factors</b> Local authorities must allocate at least 80% of the delegated schools block funding through pupil-led factors (the factors in lines 1 to 6 and 14 above, and London fringe uplift, where relevant).</p>	



Proposed Formula Exemplification 2018/19  
At 0.5% MFG

Table with columns: Cost Centre, SCHOOL, 2017/18 ACTUAL ALLOCATION (including MFG), 2018/19 EXEMPLIFICATION (prior to MFG), Change, MFG/CAP on GAINS, Total Funding, Overall Change. Rows include schools like Aldermaston Church of England Primary School and Totals for PRIMARY, SECONDARY, and ALL SCHOOLS.

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## Criteria and Budgets for Additional Funds 2018/19

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**Report being considered by:** Schools Forum  
**On:** 30/10/2017  
**Report Author:** Claire White, Ian Pearson  
**Item for:** Decision      **By:** All Forum Members

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### 1. Purpose of the Report

1.1 To set out the current criteria and budgets for additional funds for review by members, to ensure they are still relevant and meet their purpose.

### 2. Recommendation(s)

2.1 The following changes are proposed:

- Remove the Falling Rolls Fund from 2018/19.
- Widen the criteria for primary schools in financial difficulty to enable schools currently not in deficit to apply for funding towards meeting restructuring costs that are required to avoid a deficit.

2.2 The changes are subject to consultation with all schools, and the final decision is to be taken at the December meeting of the Schools' Forum.

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

3.1 Under the current school funding regulations, no in-year adjustments to funding allocations are permitted and all funding to schools has to be allocated through the approved formula. There are, however, four circumstances where the local authority can provide additional funding:

- 1) A growth fund for the purpose of supporting growth in pre-16 pupil numbers to meet basic need; to support additional classes needed to meet infant class size regulation; and to meet the costs of new schools.
- 2) A falling rolls fund where a population bulge is expected in the future but where a good and necessary school or academy currently has surplus places and faces an unmanageable funding shortfall in the short term.

For each of these funds local authorities are required to produce criteria on which any growth funding or falling rolls fund is to be allocated. These should provide a transparent and consistent basis (with differences permitted between phases) for the allocation of the funding. The criteria should both

set out the circumstances in which a payment could be made and provide a basis for calculating the sum to be paid.

Funding for both these funds is from the Schools' Block DSG, and any increase to the previous year's budget is deducted from the funding that is to be allocated out to primary and secondary schools through the funding formula.

- 3) Funding for schools in financial difficulty where a school phase has agreed to de-delegate this funding (primary phase only in West Berkshire). There needs to be agreed criteria on how this funding is to be determined and allocated to schools.
- 4) Funding can be used from the high needs block to allocate additional funding to schools which have a disproportionate number of high needs pupils. This has to be determined by a formulaic method.

3.2 In 2017/18 West Berkshire holds funds for each of these four circumstances. These now need to be reviewed and amended where appropriate. The forthcoming school funding consultation will also invite views from schools.

3.3 Schools' Forum will be required to agree the criteria and be consulted on the total sum to be top sliced from the DSG at the DECEMBER meeting. The Schools Forum will receive regular updates on the use of the funding.

#### 4. Proposals

4.1 2017/18 is the fourth year of using such funds, and the criteria have not been amended for the last two years.

4.2 The criteria for each fund are included in the appendices for members of the group to review.

4.3 No changes are proposed for the Growth Fund criteria.

4.4 It is proposed that the Falling Rolls Fund is removed. Not many other local authorities make use of such a fund and payments are made based on an assumption of future pupil numbers which may or may not materialise. In four years just one school has qualified (a payment of £23k has been made in 2017/18), yet the pupil numbers for this particular school are now no longer forecast to increase.

4.5 It is proposed to widen the criteria for primary schools to access the schools in financial difficulty fund. The proposal is for schools not in deficit but required to restructure to avoid going into deficit, to be eligible to apply for reimbursement of the one off redundancy cost. This will still be subject to the same application and scrutiny process. It is felt by Heads that those who forward plan their restructures and avoid going into deficit are then disadvantaged by not being able to access this fund

4.6 No changes are proposed to the criteria for schools with a disproportionate number of high needs pupils.



- 4.7 The budget for each fund also needs to be agreed. Previous year’s budgets and actual are shown in Table 1.

<b>TABLE 1</b>	<b>Growth Fund</b>	<b>Falling Rolls Fund</b>	<b>Primary Schools in Financial difficulty</b>	<b>Additional High Needs Funding</b>
Budget Set 2014/15	250,000	120,000	115,470	48,000
<i>Actual Spend 2014/15</i>	<i>148,341</i>	<i>0</i>	<i>112,297</i>	<i>38,576</i>
Budget Set 2015/16	250,000	40,000	115,110	50,000
<i>Actual Spend 2015/16</i>	<i>158,563</i>	<i>0</i>	<i>18,677</i>	<i>87,966</i>
Budget Set 2016/17	250,000	40,000	117,320	127,690
<i>Actual Spend 2016/17</i>	<i>100,922</i>	<i>0</i>	<i>137,930</i>	<i>114,033</i>
<b>Budget Set 2017/18</b>	<b>162,000</b>	<b>40,000</b>	<b>119,980</b>	<b>100,000</b>

- 4.8 The Schools Block allocation for 2018/19 includes £202,000 for the growth fund & falling rolls fund. It is proposed that the budget for the growth fund is kept as per the DSG allocation, and any unspent allocation from 2017/18 is carried forward and added to this fund in 2018/19. This is being mindful that in September 2019 a new primary school is due to open, and the additional funding for this will need to be met from the Schools Block DSG. All unspent growth funding up to the end of 2016/17 was reallocated back to schools in 2017/18. The funding arrangements for the next two years will require the growth fund to be met from the Schools Block DSG and there are no plans yet for the DfE to fund this element on in year requirements – it is currently being allocated based on historical budgets.
- 4.9 The primary schools in financial difficulty fund should also continue at the current level, as it is likely more schools will have difficulty in balancing their budgets and will undergo staffing restructures which will qualify for funding.
- 4.10 It is apparent that the number of schools with a disproportionate number of high needs pupils is continuing to grow, and funding needs to be set aside from the high needs block at the current level of spend, in order to fund those schools qualifying.
- 4.11 All the above proposals were agreed by Heads Funding Group on 11<sup>th</sup> October 2017.

## 5. Appendices

Appendix A – Current Growth Fund Criteria 2017/18

Appendix B – Current Falling Rolls Fund Criteria 2017/18

Appendix C – Current Funding for Primary Schools in Financial Difficulty Criteria 2017/18

Appendix D – Current Additional High Needs Funding Criteria 2017/18

## Growth Fund Criteria 2017/18

### 1. Background

- 1.1 Under the current School Funding Regulations, local authorities can set up a growth fund from the DSG in advance of allocating school budget shares. The purpose of the growth fund is to support maintained schools and Academies which are required to provide extra places in order to meet basic need within the authority and to meet the cost of new and reorganised schools including pre-opening and diseconomy costs. It can also include funding schools where very limited pupil number growth requires an additional class as required by infant class size regulations. It cannot be used for general growth in pupil numbers at a school due to a school's popularity.
- 1.2 The growth fund is ring-fenced so that it can only be used for the purpose of supporting growth in pre 16 pupil numbers to meet basic need. Any funds remaining at the end of the financial year must be added to the following year's DSG and reallocated to maintained schools and Academies through the local formula.
- 1.3 Local authorities are required to provide on a transparent and consistent basis the criteria on which any growth funding is to be allocated. The criteria should both set out the circumstances and have clear objective trigger points for a school to qualify for payment and provide a clear formula for calculating the sum to be paid.
- 1.4 The Schools' Forum is required to agree the criteria and the total sum to be top sliced from each phase, and will receive reports on the use of the funding.
- 1.5 The criteria and funding for 2017/18 as agreed by the Schools' Forum at its meeting on 5<sup>th</sup> December 2016 is set out below.

### 2. Growth Fund Criteria

#### 2.1 New School

**Pre opening costs** payable to a new school such as for the Headteacher and other staffing and recruitment costs prior to opening and initial equipping allowance *where the school is opening in response to basic need in the area.*

Funding will be actual cost of staff appointed and in post prior to the opening of the new school up to a maximum of £75,000, plus a fixed one-off lump sum of £25,000 for all other purchases necessary before the school opens.

**Diseconomies of scale.** The total pupil numbers required by the new school to ensure viability will be agreed in advance with the school on an annual basis whilst the school is growing to full capacity and funding paid via the school formula will be based on this number. This will meet any diseconomies of scale and the school will not require additional funding from the growth fund.

#### 2.2 Extending Age Range (including new schools)

This is payable to a school which has extended its age range and set up a new class in agreement with the authority *in response to basic need in the area.* Funding is payable from the growth fund where the new pupil numbers have not been added to the school formula funding in agreement with the DfE (i.e. the deadline for such

agreement was missed) or the new pupil numbers are greater than the number agreed with the DfE.

Funding will be total AWPU per additional pupil in the new class (pro rata for the remainder of the financial year).

### **2.3 Provision of an Extra Class**

This is payable where a school has *agreed with the authority to provide an extra class in order to meet basic need in the area* (either as a bulge class or as an ongoing commitment).

Funding will be total AWPU per additional pupil in the new class up to a maximum of £50,000 per class (approx. 17 pupils in primary, 11 pupils in secondary) pro rata for the remainder of the financial year. £50,000 will pay for a full time teacher at mid scale, a term time only Teaching Assistant, and approximately £9,000 for other costs.

### **2.4 Increase in Pupil Admission Number (PAN)**

This is payable where a school has increased its admission number by 5 or more pupils *in agreement with the authority*, but this has not necessitated an additional class, or is not in response to basic need for a bulge class or general pupil number growth in the area.

Funding will be 50% of the AWPU per additional pupil up to a maximum of £25,000 (approx. 17 pupils in primary, 11 pupils in secondary) pro rata for the remainder of the financial year.

### **2.5 KS1 Classes (infant class size)**

This is payable to a school with infant classes which is required to set up an additional class in the Autumn term as required by infant class size regulations, and the school cannot accommodate all its additional reception and Key Stage 1 pupils in classes of 30 or less i.e. the total number of pupils in the 3 year groups exceeds a multiple of 30. (see Appendix A for examples).

In order to qualify for the additional funding, the school must have set up an additional class and employed an additional teacher, and must not have exceeded its admission number unless requested to by the LA.

Funding will be a fixed sum of £40,000 for each new class (to pay for a mid scale teacher plus a teaching assistant), pro rata for the remainder of the financial year.

Before setting up an additional class and employing an additional teacher, schools should be aware that this additional in-year payment is temporary one-off funding for the remainder of the financial year in order to meet the pupil's basic need until full per pupil funding is received the following April. Schools will be required to meet the costs of the additional class from their formula pupil funding and lump sum from the following financial year. Schools accessing the infant class size funding where pupil numbers are just 2 or 3 above the limit, should carefully consider the longer term financial implications of employing an additional teacher (approximately 11 additional pupils are needed to pay for a midscale teacher, or 9 additional pupils for a newly qualified teacher).

### 3. Funding to be Top sliced from DSG

3.1 The sum to be set aside in 2017/18 is as follows:

<b>Estimated Requirement</b>	<b>Calculation</b>	<b>Total</b>
New School (none expected)		£0
Extending Age Range (none expected)		£0
Additional Classes x 4	$£50,000 \times 4 \times 7/12$	£116,000
Increase in PAN (none expected)		£0
Infant classes x 2	$£40,000 \times 2 \times 7/12$	£46,000
Contingency		£0
<b>TOTAL DSG REQUIREMENT</b>		<b>£162,000</b>

- 3.2 Funding requests from schools are to be submitted to Schools' Finance who will make payment following approval by the Head of Education if he is satisfied that the criteria are met. All approvals will be reported to Schools' Forum.
- 3.3 Any overspends in year will be met from a top slice of the following years DSG allocation. Any underspends will be carried forward and reallocated to all schools through the following years funding formula.

## Falling Rolls Fund Criteria 2017/18

### 1. Background

- 1.1 Since 2014/15, local authorities have been able to top slice the DSG in order to create a small fund to support good schools with falling rolls. This is for where a population bulge is expected in the future but where a good and necessary school or academy currently has surplus places and faces an unmanageable funding shortfall in the short term.
- 1.2 The falling rolls fund is ring-fenced. Any funds remaining at the end of the financial year must be added to the following year's DSG and reallocated to maintained schools and Academies through the local formula.
- 1.3 It is mandatory that the falling rolls fund is restricted to population increases expected in 2-3 years in necessary schools which are classed by OFSTED as good or outstanding.
- 1.4 Local authorities are required to provide on a transparent and consistent basis the criteria on which any falling rolls funding is to be allocated. The criteria should both set out the circumstances in which a payment could be made and provide a basis for calculating the sum to be paid.
- 1.5 The Schools' Forum is required to agree the criteria and the total sum to be top sliced from each phase, and will receive reports on the use of the funding.
- 1.6 The criteria and funding for 2017/18 as agreed by the Schools' Forum at its meeting on 5<sup>th</sup> December 2016 is set out below.

### 2. Falling Rolls Criteria

- 2.1 School must have been judged good or outstanding at their last OFSTED inspection.
- 2.2 The total number of pupils on roll (4 – 16) has fallen by at least 10% or 30 pupils between October 2016 census and October 2017 census.
- 2.3 Local planning data shows a requirement for at least 50% of these places being refilled within the next 3 years.
- 2.4 According to the current pupil numbers on roll, the school needs to reduce the number of classes required now, but will need to increase the number again within the next 3 years (calculation based on classes of 30 pupils)
- 2.5 Where a school meets the above criteria, funding will be provided equivalent to the staffing cost of continuing to run the additional class(s) at a fixed sum of £40,000 per class pro rata to the number of pupils the roll has reduced by in each class (e.g. if year 3 has reduced by 10 compared to 30 in the previous year, payment will be  $£40,000 \times 10/30 = £13,333$  for this class).
- 2.6 The payment will be made the following financial year, as funding for the remainder of the current financial year is still based on the previous October's higher pupil

numbers. This will enable the school to continue with the current number of classes in the following financial year without incurring a redundancy.

**3. Funding to be Top sliced from DSG**

- 3.1 The sum to be set aside in 2017/18 is £40,000
- 3.2 Funding requests from schools are to be submitted to Schools' Finance who will make payment following approval by the Head of Education if he is satisfied that the criteria are met. All approvals will be reported to Schools' Forum.
- 3.3 Any overspends in year will be met from a top slice of the following years DSG allocation. Any underspends will be carried forward and reallocated to all schools through the following years funding formula.

## Appendix C

### Funding for Primary Schools in Financial Difficulty Criteria 2017/18

#### 1. Background

- 1.1 Under School funding reform, from April 2013 local authorities have been required to delegate to all schools the contingency previously held for schools in financial difficulty. Each phase in the maintained sector has the option of de-delegating this funding to continue to have this funding centrally retained.
- 1.2 At the Schools' Forum meeting held on 5<sup>th</sup> December 2016, the primary school members of the Forum opted to continue to de-delegate this funding in 2017/18 at a rate of £9.64 per pupil. The amount totals £119,980 in 2017/18.
- 1.3 The Schools' Forum is required to set clear criteria for the allocation of this funding. The criteria for 2017/18 was reviewed and agreed by the Schools' Forum at its meeting on 5<sup>th</sup> December 2016 and is set out below.

#### 2. Contingency for Schools' In Financial Difficulty Criteria (Maintained Primary Schools Only)

If a school has a deficit budget it may be allocated additional support funding. If a school can meet the following criteria, a bid for additional funding can be made by the school to be considered by the Schools' Forum:

1. The school has sought and followed the advice of the Schools' Accountancy Service **prior** to going into deficit
2. The school has (up to) a five year robust deficit recovery plan in place which has been discussed with and verified by the Schools' Accountancy Service.
3. Additional funding may be payable for one of the following exceptional unforeseen circumstances which has taken the school into deficit:
  - Short term downturn in pupil numbers - to maintain current staffing structure where evidence can be provided that the numbers are likely to recover within a 2 - 3 year period and where downsizing of staff and resultant redundancy costs in order to balance the budget on a short term basis would not be an efficient use of resources.
  - Sudden permanent downturn in pupil numbers in a school causing concern (i.e. Ofsted category of notice to improve or worse) - to maintain current staffing levels on a temporary basis where to reduce the staffing levels immediately in order to balance the budget would be detrimental to the recovery of standards in the short term.
  - Unforeseen sudden permanent downturn in pupil numbers - to cover staffing costs during a short term interim period whilst restructuring takes place and in order where possible to avoid redundancies (such as through natural wastage).
  - Redundancy payments, where the staffing reductions are required in order to balance the budget, but these costs will put the school further into a deficit position and taking the school longer to recover the deficit.
  - Any other one off costs incurred on recovery of the deficit, such as specialist consultancy advice/support. (it was agreed by Schools' Forum on 11<sup>th</sup> July 2016 that where West Berkshire's Accountancy Service are engaged for such

support, the cost can be charged direct to this fund without making a separate bid).

In order to access this funding, a school will need to complete and submit an application to the WBC Schools' Finance Manager who will arrange a panel (usually the next Heads Funding Group) to assess the application. The school will be invited to present their case in person to the panel and answer questions. The panel will also be provided with benchmarking information produced by Schools' Accountancy (which will be shared with the school prior to the meeting). The panel will recommend the amount and duration of the financial support to Schools' Forum for approval or not.



## Appendix D

### Additional High Needs Funding Criteria 2017/18

#### 1. Background

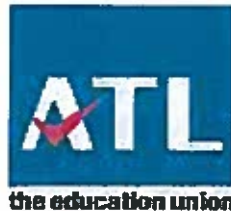
- 1.1 Local authorities can provide additional targeted support to individual schools from its high needs block where it would be unreasonable to expect the first £6,000 of support for that schools high needs pupils to be met by them from its (pre 16) formula funding due to an exceptional number of such pupils on its roll.
- 1.2 The guidance from the DfE has stated that the additional funding paid to schools should be formulaic based on the number of high needs pupils in each school. It cannot take into account lower level needs of pupils. The formula or criteria should be as clear and simple as possible, and should be devised so that additional funds are targeted only to a minority of schools which have particular difficulties because of their **disproportionate number** of high needs pupils or their characteristics.
- 1.3 The Schools' Forum agreed the methodology at its meeting on 5<sup>th</sup> December 2016, and this is set out below.

#### 2. Methodology and Process

- 2.1 There will be an additional payment to schools where the actual number of pre 16 high needs pupils (i.e. pupils in mainstream receiving top ups) is significantly (1%) above the average of all schools in West Berkshire.
- 2.2 Where the actual number of pre 16 high needs pupils per school is 1% above the West Berkshire average (the average is calculated using the number of high needs pupils in January 2017 and shown in the pink column on the attachment), each additional high needs pupil will attract £6,000 in addition to the top up. The number of additional pupils will be calculated on a proportionate basis rather than rounding up or down to whole pupil numbers to avoid a funding cliff-edge.
- 2.3 The funding will be paid pro rata each term based on the actual number of pre 16 pupils receiving top ups at that time for the number of days in that term i.e. calculated and paid in April, October and January.
- 2.4 The attached table shows for each school how many high needs pupils equals the average + 1% (the pink column) before qualifying for additional funding in 2017/18. Schools will receive £6,000 per 1.0 high needs pupils they have on roll *above this average number*. Note that funding may be a proportion of £6,000 if the calculation is less than 1.0.
- 2.5 The amount of funding to be set aside for this purpose in the high needs budget will be £100,000.

### Provisional 2017/18 Additional SEN Funding for Schools with Disproportionate large numbers of High Needs Pupils

Cost Centre	SCHOOL	Relevant Data			Indicative Funding		
		Total Pre 16 Pupil No.s (Oct 2016 Census excl RU)	Mainstream Pre 16 Pupil No.s Receiving Top Ups January 2017	Notional SEN Budget 2017/18	Average No. of Pupils Formula Funded	High Needs Pupils Above Average (un rounded)	Indicative Add'l Funding £6,000
	Primary				1.99%	1% above LA avg	
	Secondary				2.46%	1% above LA avg	
91000	Aldermaston Church of England Primary School	185	5	34,653	3.68	1.32	7,897
91100	Basildon Church of England Primary School	143	3	24,472	2.85	0.15	915
91300	Beeton Church of England Controlled Primary School	46	0	11,561	0.92	0.00	0
91400	Beenham Primary School	82	0	17,191	1.63	0.00	0
91200	Birch Copse Primary School	424	3	64,270	8.44	0.00	0
91500	Bradfield Church of England Primary School	142	2	28,477	2.83	0.00	0
91600	Brightwalton Church of England Aided Primary School	100	1	14,093	1.99	0.00	0
91700	Brimpton Church of England Primary School	50	1	11,691	1.00	0.00	26
91800	Bucklebury Church of England Primary School	129	1	22,389	2.57	0.00	0
91900	Burghfield St. Mary's Church of England Primary School	206	3	29,456	4.10	0.00	0
92000	Calcot Infant School & Nursery	230	0	45,796	4.58	0.00	0
92100	Calcot Junior School	279	3	91,677	5.56	0.00	0
95222	Chaddleworth St. Andrew's C of E Primary School	29	1	11,526	0.58	0.42	2,535
92400	Chieveley Primary School	209	2	25,742	4.16	0.00	0
95900	Cold Ash St. Mark's Church of England Primary School	197	1	23,546	3.92	0.00	0
92200	Compton Church of England Primary School	185	1	34,594	3.68	0.00	0
92300	Curridge Primary School	103	0	12,328	2.05	0.00	0
92500	Downsway Primary School	209	5	33,736	4.16	0.84	5,030
92800	Enborne Church of England Primary School	65	0	16,067	1.29	0.00	0
92900	Englefield Church of England Primary School	98	4	14,144	1.95	2.05	12,292
93000	Falkland Primary School	450	6	58,917	8.96	0.00	0
93100	Fir Tree Primary School & Nursery	191	3	54,462	3.80	0.00	0
93200	Francis Baily Primary School	541	5	96,470	10.77	0.00	0
93400	Garland Junior School	217	1	48,824	4.32	0.00	0
93500	Hampstead Norreys Church of England Primary School	88	0	13,825	1.75	0.00	0
93600	Hermitage Primary School	193	2	32,084	3.84	0.00	0
93700	Hungerford Primary School	392	1	84,459	7.81	0.00	0
92700	The Ilsleys Primary School	57	0	7,368	1.13	0.00	0
93800	Inkpen Primary School	76	1	14,433	1.51	0.00	0
93900	John Rankin Infant & Nursery School	260	5	46,502	5.18	0.00	0
94000	John Rankin Junior School	280	5	55,496	5.58	0.00	0
94100	Kennet Valley Primary School	194	2	52,515	3.86	0.00	0
94200	Kintbury St. Mary's Church of England Primary School	140	3	23,570	2.79	0.21	1,274
94300	Lambourn Church of England Primary School	196	1	51,893	3.90	0.00	0
94400	Long Lane Primary School	208	2	31,134	4.14	0.00	0
95800	Mortimer St. John's Church of England Infant School	181	0	23,458	3.60	0.00	0
97500	Mortimer St. Mary's Church of England Junior School	216	5	39,652	4.30	0.70	4,194
94500	Mrs. Bland's Infant & Nursery School	169	0	38,266	3.37	0.00	0
94600	Pangbourne Primary School	205	2	35,361	4.08	0.00	0
94700	Parsons Down Infant School	217	0	39,579	4.32	0.00	0
94800	Parsons Down Junior School	308	5	67,252	6.13	0.00	0
94900	Purley Church of England Infants School	112	3	21,570	2.23	0.77	4,619
95000	Robert Sandilands Primary School & Nursery	246	3	56,621	4.90	0.00	0
95100	Shaw-cum-Donnington Church of England Primary School	94	2	19,788	1.87	0.13	770
95200	Shefford Church of England Primary School	29	0	6,933	0.58	0.00	0
95300	Speenhamland Primary School	281	3	72,017	5.60	0.00	0
95400	Springfield Primary School	301	6	49,912	5.99	0.01	39
95500	Spurcroft Primary School	433	1	89,943	8.62	0.00	0
95700	St. Finian's Catholic Primary School	197	1	35,083	3.92	0.00	0
97700	St. John the Evangelist Infant & Nursery School	180	1	27,122	3.58	0.00	0
97800	St. Joseph's Catholic Primary School	210	2	40,579	4.18	0.00	0
96200	St. Nicolas Church of England Junior School	258	2	46,370	5.14	0.00	0
96100	St. Pauls Catholic Primary School	325	0	56,432	6.47	0.00	0
96300	Stockcross Church of England Primary School	101	1	12,089	2.01	0.00	0
96400	Streatley Church of England VC Primary School	98	0	16,224	1.95	0.00	0
96500	Sulhamstead and Ufton Nerve C of E VA Primary School	101	2	15,996	2.01	0.00	0
99700	Thatcham Park Church of England Primary School	385	3	81,860	7.67	0.00	0
96600	Theale Church of England Primary School	275	3	43,737	5.48	0.00	0
96700	Welford and Wickham Church of England Primary School	94	1	14,799	1.87	0.00	0
96800	Westwood Farm Infant School	172	2	29,114	3.42	0.00	0
96900	Westwood Farm Junior School	219	2	37,267	4.36	0.00	0
97000	Whitelands Park Primary School	316	1	79,975	6.29	0.00	0
98700	The Willows Primary School	344	2	103,779	6.85	0.00	0
99400	The Winchcombe School	390	5	85,869	7.77	0.00	0
97300	Woolhampton Church of England Primary School	92	0	12,553	1.83	0.00	0
97400	Yattendon Church of England Primary School	73	0	12,697	1.45	0.00	0
98900	Denefield School	919	6	231,517	22.58	0.00	0
98800	The Downs School	898	12	132,595	22.06	0.00	0
99000	John O'Gaunt Community Technology College	336	18	118,258	8.26	9.74	58,470
99100	Kennet School	1,362	15	346,200	33.46	0.00	0
99200	Little Heath School	1,281	22	228,317	31.47	0.00	0
99300	Park House School	793	8	201,503	19.48	0.00	0
99800	St. Bartholomew's School	1,264	8	212,021	31.05	0.00	0
99500	Theale Green Community School	537	7	120,284	13.19	0.00	0
99900	Trinity School & Performing Arts College	740	18	253,132	18.18	0.00	0
99600	The Willink School	862	17	130,708	21.18	0.00	0
	<b>PRIMARY TOTAL</b>	<b>13,216</b>	<b>131</b>		<b>263</b>	<b>7</b>	<b>39,591</b>
	<b>SECONDARY TOTAL</b>	<b>8,992</b>	<b>131</b>		<b>221</b>	<b>10</b>	<b>58,470</b>
	<b>TOTAL ALL SCHOOLS</b>	<b>22,208</b>	<b>262</b>		<b>484</b>	<b>16</b>	<b>98,060</b>



Dear Director

We are writing on behalf of all employees working within the boundaries of your local authority area who are members of NAHT and the ATL and NUT sections of the National Education Union.

You will recall that, from last April, local schools agreed through your Schools Forum to 'de-delegate' funding for supply cover costs, including for trade union facilities time. We believe that this was the right decision – and a very big majority of Schools Forums made the same decision, acting in accordance with advice issued by the Local Government Association and the National Employers' Organisation for School Teachers in October 2015.

We believe that the central retention and distribution of the fund is the most effective and efficient arrangement and we would like to work with you to ensure that this arrangement continues. Discussions are now taking place in your authority on funding arrangements for supply cover costs from April next year and we are asking you to pass the information in this letter to members in your Schools Forum and to encourage them to vote again for de-delegation of funding arrangements for supply cover costs.

Successive governments have recognised the importance of good industrial relations and have legislated to provide a statutory basis for facilities time as follows.

- Paid time off for union representatives to accompany a worker to a disciplinary or grievance hearing.
- Paid time off for union representatives to carry out trade union duties.
- Paid time off for union representatives to attend union training.
- Paid time off for union 'learning representatives' to carry out relevant learning activities.
- Paid time for union health and safety representatives during working hours to carry out health and safety functions.

These provisions are contained within the Employment Relations Act 1999 and the Trade Union Labour Relations (Consolidation) Act 1992 and the Safety Representatives and Safety Committees Regulations 1977.

NAHT and NEU have members and union representatives in academies as well as maintained schools within your local authority area and, in addition to seeking your support for continued de-delegation, we are seeking your agreement for the local trade union funding arrangement to be formally extended to academies within your local authority boundaries.

As the DfE Advice on Trade Union Facility Time acknowledges, the trade union recognition agreement between the authority and the recognised unions will have transferred to the academy school as the new employer of the transferred staff as part of the conversion process to academy status under TUPE. We believe that, following conversion, academies should also become parties to local authority trade union facilities arrangements.

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The academies within your boundaries will have received funding for trade union facilities time in their budgets and they are entitled to use that funding to buy-back into local authority arrangements. Indeed, many academies across England have already agreed to buy in to local authority trade union facilities arrangements.

Pooled funding will help the local authority and all schools to meet their statutory obligations on trade union facilities time. Setting up a central funding arrangement will allow academies to pay into a central pool if they wish to. But most importantly it will help maintain a coherent industrial relations environment where issues and concerns whether individual or collective can be dealt with more effectively. All these points are echoed in the advice issued by the LGA and NEOST.

We urge you therefore to support the de-delegation funding for supply cover costs and to continue or establish (if you did not do so previously) a mechanism whereby academies within your boundaries are able to buy into a central fund for trade union facilities time. If you agree to do so, we will write to academy principals to encourage them to buy in to your arrangement.

Yours sincerely

Paul Whiteman

Mary Bousted

Kevin Courtney

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## De-delegation Proposals 2018/19

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**Report being considered by:** Schools Forum  
**On:** 30/10/2017  
**Report Author:** Gabrielle Esplin, Ian Pearson  
**Item for:** Decision      **By:** All Maintained Schools Representatives

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### 1. Purpose of the Report

1.1 This report sets out the details, cost, and charges to schools of the services on which maintained school representatives are required to vote (on an annual basis) whether or not they should be de-delegated.

### 2. Recommendation(s)

- 2.1 To note the views of the Heads Funding Group on the de-delegations set out in Table 7.
- 2.2 To include these proposals in the consultation with all schools on funding arrangements for 2018/19.

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

3.1 The Schools' Forum in December 2016 and January 2017 agreed for the following services to be centrally provided to primary and secondary maintained schools in the 2017/18 financial year through the pooling of funding:

- Behaviour Support Services
- Ethnic Minority Support
- Trade Union Representation
- Schools in Financial Difficulty (primary only)
- CLEAPSS
- Statutory and Regulatory Duties comprising:
  - Statutory accounting functions in respect of schools
  - Internal Audit of schools
  - Administration of pensions for school staff
  - Health and Safety (level 1 support)

3.2 The schools funding regulations for 2018/19 have now been published and these confirm that similar arrangements will apply for dedelegation of the cost of these services will apply for the financial years 2018/19 and 2019/20. Funding arrangements are expected to change in 2020/21, but details of the changes have not yet been announced.

- 3.3 Representatives of Primary and Secondary schools are required to make a recommendation to Schools Forum whether or not funds should be de-delegated in the financial year 2018/19 for:
- Behaviour Support Services
  - Ethnic Minority Support
  - Trade Union Representation
  - Schools in Financial Difficulty (primary only)
  - CLEAPSS

Funds cannot be de-delegated from Special and Nursery Schools and PRUs for these services, but those schools will have the option to buy back these services at a cost based on the same amount per pupil as for primary and secondary schools.

- 3.4 In the case of the services which make up Statutory and Regulatory Duties, representatives of all maintained schools (including Special and Nursery Schools and PRUs) are required to recommend to Schools Forum whether or not funds should be de-delegated.
- 3.5 For 2018/19 Schools are also being offered the option to pool funds for the provision of level 2 Health and Safety support, as part of the Statutory and Regulatory Duties block (option 1).
- 3.6 The Schools' Forum also agreed for 2018/19 to pool funds for the provision of the statutory element of the School Improvement Service, which was previously funded from the Education Services Grant. However a new School Improvement Grant has now been made available to the Local Authority to provide this service, so it is no longer necessary to propose the pooling of schools' funds for School Improvement.
- 3.7 Academies and other non maintained schools also may be able to choose to buy into any of the above services subject to service provider agreement.
- 3.8 Appendix A sets out the total cost of each service and an initial estimate of the amount to be de-delegated from each school. This estimate is based on the October 2016 census. However the final amounts will be based on the October 2017 census when that data becomes available.

#### **4. Behaviour Intervention Service**

- 4.1 The Behaviour Intervention Service proposal for 2018/19 is set out in Appendix B.
- 4.2 Table 1 shows the budget and unit charge for 2018/19 compared to 2017/18. The total cost will be divided by the total numbers of pupils in the October 2017 census to determine a unit charge per pupil on which the de-delegated amount per school will be based. As all schools will have access to all aspects of the service, the same unit charge will apply to both primary and secondary schools. Based on the October 2016 census this is estimated to be £14.05 per pupil but the final rate will be determined according to the October 2017 census.

TABLE 1	2017/18		2018/19	
	Unit Charge per pupil	Budget	Estimated Unit Charge per pupil	Budget
Maintained Primary Schools	£13.77	£171,470	£14.05	£174,897
Maintained Secondary Schools	£13.77	£41,900	£14.05	£42,733
<b>Total</b>		<b>£213,370</b>		<b>£217,630</b>

## 5. Ethnic Minority and Traveller Achievement Service

- 5.1 The detail of the Ethnic Minority and Traveller Achievement Service (EMTAS) is set out in Appendix C.
- 5.2 Table 2 shows the budget and the estimated unit charge for the service for 2018/19 compared to 2017/18. The total cost in respect of Primary and Secondary schools will be divided by the total number of pupils recorded as having English as an additional language (EAL) in the October 2017 census to determine a unit charge per EAL pupil on which the de-delegated amount per school will be based. As all schools will have access to all aspects of the service, the same unit charge will apply to both primary and secondary schools. The estimated unit charge of £274.17 per pupil is lower than the rate for 2017/18 because the service spent £38,300 less than the amount which was agreed to be de-delegated in 2016/17 and this amount can be used to help meet the cost of delivering the service in 2018/19. The estimated unit charge is based on the October 2016 census, but the final rate will be determined according to the number of EAL pupils in the October 2017 census.

TABLE 2	2017/18		2018/19	
	Unit Charge per pupil with EAL	Budget	Estimated Unit Charge per pupil with EAL	Budget
Maintained Primary Schools	£349.43	£226,052	£274.17	169,085
Maintained Secondary Schools	£349.43	£5,248	£274.17	4,392
		<b>£231,300</b>		<b>173,477</b>

## 6. Trade Union Representation

- 6.1 The detail of the service provided by Trade Union representatives to schools is set out in Appendix D.

Table 3 shows the budget and unit charge for the service for 2018/19 compared to 2017/18. The proposal for 2018/19 is the same as 2017/18 with the cost based on 1FTE supply teacher on UPS3. It is assumed there will also be some buy in from academy schools. The total net cost in respect of Primary and Secondary schools will be divided by the total number of pupils in the October 2017 census to determine a unit charge per pupil on which the de-delegated amount per school will be based on. As all schools have access to all representatives (regardless of which school they are based in), the same unit charge will apply to both primary and secondary schools. Based on the October 2016 census this currently estimated to

be £3.01 per pupil but the final rate will be determined according to the October 2017 census.

TABLE 3	2017/18		2018/19	
	Unit Charge per pupil	Budget	Estimated Unit Charge per pupil	Estimated Budget
Maintained Primary Schools	£3.16	£39,297	£3.13	38,930
Maintained Secondary Schools	£3.16	£9,603	£3.13	9,512
		<b>£48,900</b>		<b>48,442</b>

## 7. Schools in Financial Difficulty

- 7.1 If schools decide to de-delegate funding to provide a fund for schools in financial difficulty, the amount to be pooled can be for any amount. Currently only primary schools de-delegate.
- 7.2 The proposal shown in Table 4 assumes continuing with an annual fund of £120,000, which would equate to £9.64 per pupil based on the October 2016 census but the final rate will be determined according to the October 2017 census.

TABLE 4	2017/18		2018/19	
	Unit Charge per pupil	Budget	Estimated Unit Charge per pupil	Estimated Budget
Maintained Primary Schools	£9.64	£120,000	£9.64	£120,000
Maintained Secondary Schools				
		<b>£120,000</b>		<b>£120,000</b>

- 7.3 More schools are now applying for funding, and it is largely used for one off exceptional costs such as those in relation to staffing restructures. If it is agreed to continue pooling, Schools' Forum will also be required to agree the criteria for primary schools to access this fund.

## 8. Consortium of Local Education Authorities for the Provision of Science Services (CLEAPSS)

- 8.1 The detail of the service provided by this subscription is set out in Appendix E.
- 8.2 As the actual pricing from CLEAPSS will not be available until after the schools budget has been set, an assumption has been made on the 2018/19 fee. Any over or under spend will be recovered the following year, as in all de-delegated services. Table 5 shows the budget and unit charge for the service for 2018/19 compared to 2017/18. The unit charge includes the administration fee. Note that secondary schools will need to pay the fee relating to sixth form pupils separately as de-delegation is based on pre 16 pupils only.



TABLE 5	2017/18			2018/19		
	Unit Charge per pupil	Charge per school	Budget	Estimated Unit Charge per pupil	Estimated Charge per school	Estimated Budget
Maintained Primary Schools	£0.15		£1,870	£0.16		1,991
Maintained Secondary Schools	£0.15	£220	£1,120	£0.16	£225	1,162
			<b>£2,990</b>			<b>3,153</b>

## 9. Statutory and Regulatory Duties

- 9.1 The statutory regulatory duties consist of the statutory functions in respect of schools of Accountancy, Internal Audit, Pension scheme administration and Health and Safety. The Accountancy, audit and pension administration services are described in appendix F.
- 9.2 In 2017/18 funds to provide level 1 Health and Safety support were de-delegated but individual schools were given the choice whether or not to buy back level 2 support. The Health and Safety service is proposing two alternative options for de-delegation, as set out in appendix G. Option 1 is to de-delegate funds to provide level 1 and 2 support for all maintained primary and secondary schools. Option 2 is the same arrangement as for 2017/18.
- 9.3 Table 6 shows the budget and estimated unit charges for these services 2018/19 compared to 2017/18. The total cost will be divided by the total numbers of pupils in the October 2017 census to determine a unit charge per pupil on which the de-delegated amount per school will be based. The same unit charges will apply to both primary and secondary schools. The estimated unit charges shown are based on the October 2016 census but the final rates will be determined according to the October 2017 census.

TABLE 6	2017/18		2018/19				
	Charge per Pupil	Budget	Estimated Unit Charge per pupil	Estimated Total Budget	Estimated Primary Budget	Estimated Secondary Budget	Estimated budget for Nursery, Special Schools and PRUs
Accountancy	£2.00	£30,953	£2.09	£33,793	£25,977	£6,347	£1,469
Audit	£2.70	£41,883	£2.29	£45,173	£34,724	£8,484	£1,964
Pension Scheme Administration	£1.96	£30,404	£2.09	£33,759	£25,950	£6,341	£1,468
Health and Safety Option 1	£10.06	£155,764	£10.34	£167,446	£128,716	£31,450	£7,281
Health and Safety Option 2	£3.66	£56,642	£3.52	£56,962	£43,787	£10,699	£2,477
<b>Total Option 1</b>	<b>£16.62</b>	<b>£259,007</b>	<b>£17.30</b>	<b>£280,171</b>	<b>£215,367</b>	<b>£52,622</b>	<b>£12,182</b>
<b>Total Option 2</b>	<b>£10.32</b>	<b>£159,882</b>	<b>£10.48</b>	<b>£169,687</b>	<b>£130,438</b>	<b>£31,871</b>	<b>£7,378</b>

## 10. Summary of Proposals

10.1 Table 7 summarises the services and budgets which are proposed to be de-delegated in 2018/19:

<b>TABLE 7</b>	<b>2018/19 Primary Budget £</b>	<b>Agreed by HFG</b>	<b>2018/19 Secondary Budget £</b>	<b>Agreed by HFG</b>	<b>2018/19 Early Years &amp; High Needs Budgets £</b>	<b>Agreed by HFG</b>
Behaviour Integration	174,897	Yes	42,733	TBD	n/a	n/a
Ethnic Minority Support	169,085	Yes	4,392	Yes	n/a	n/a
Trade Union Representation	38,930	Yes	9,512	Yes	n/a	n/a
Schools in Financial Difficulty	120,000	Yes	n/a		n/a	n/a
CLEAPSS	1,991	Yes	1,162	Yes	n/a	n/a
Statutory and Regulatory Duties Option 1	215,367	No	52,622	No	12,192	No
Statutory and Regulatory Duties Option 2	130,438	Yes	31,871	Yes	7,378	Yes

## 11. Consultation and Engagement

11.1 The proposals set out in this report will be included in the consultation with all schools on the proposed school funding arrangements for 2018/19.

## 12. Appendices

Appendix A – Indicative De-delegations per school for 2018/19

Appendix B – Behaviour Support Service

Appendix C – Ethnic Minority & Traveller Achievement Service

Appendix D – Trade Union Representation Service

Appendix E – CLEAPSS Service

Appendix F – Accountancy, Audit and Pension Administration

Appendix G- Health and Safety





## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2018-19

#### Behaviour Intervention Service

#### Outline of Proposed Service 2018/19

The Behaviour Intervention Team (BIT) offers evidence-based advice and support to schools. The type of involvement includes whole school support, staff training, staff support, class or year group support as well as individual support. This tiered service represents an enhanced offer from previous years.

#### Key Features Requested by Primary Heads

These themes stem from the behaviour review and will be addressed by BIT in 2018/19:

1. Provide a quick and flexible response to challenging cases in schools.
2. Provide different levels of response within the team.
3. Design and deliver a training package to skill up staff within schools
4. Set up support network for school staff.
5. Work with partners to ensure appropriate parent training is available.
6. Provide practice guidelines/ graduated response criteria.

#### A New look Team

1. The Team –
  - Beth Cartwright (BIT Manager & Acting Senior EP)
  - Kate Pike (BIT EP)
  - Gerry Heaton (Primary BIT Advisor)
  - Vacant (Secondary BIT Advisor –to be appointed)
  - Nicky Edwards (BIT Worker)
  - 2 Vacant BIT Worker posts (in the process of being recruited this month)
  - Andy Cordell (Exclusions Officer)
  - Piyush Bharania (Admin Assistant)

In addition to the above, schools will have access to a team of educational psychologists and graphic facilitators who will run circle of adult meetings to support schools with pupils at risk of exclusion. A Circle of Adults meeting is led by 2 trained workers and involves key staff and professionals from the school. It lasts 90 minutes and provides a structured approach to problem-solving and identifying agreed strategies.

This represents an increased offer with a range of professionals and expertise in the team. This will be delivered without a significant increase in the cost of the

service. This is due to a team restructure and a more efficient deployment of resources.

2. Rapid Response: capacity to respond rapidly to school concerns. This could relate to children but also whole school situations that arise. Behaviour would be main focus but wouldn't exclude other complex situations.
3. For those needing some quick advice, signposting, or consultation with a BIT Educational Psychologist, Kate or Beth will be available for a telephone consultation on Wednesday afternoons from 1230 - 1630.
4. BIT referrals will be triaged weekly and the most appropriate level of support offered within 5 days.
5. The team will be informed by evidence based practice which will result in clear suggestions of what needs to happen to move the situation forward.
6. Partners and working relationships: In partnership with other agencies Beth will look to develop a clear referral pathway for social emotional and mental health issues. This will include consideration of EHA, iCollege, EPS, EWS, and ASD support teachers.
7. All of the above should be able to link and sit neatly with Local Authority social and emotional mental Health and well-being agenda and restorative themes.
8. Research indicates that a number of children and young people presenting with challenging behaviour have unidentified mental health problems. New request for involvement forms have been created along with screening tools to identify any mental health problems. This will enable these needs to be addressed by BIT team members or for referrals to be made to appropriate services.

### **What would schools get?**

1. Screening and signposting for identified mental health difficulties.
2. Immediate write up and actions as well as agreed review of cases where appropriate.
3. Links with other support services and help in securing necessary actions
4. More direct support with very complex cases involving a wide range of services.
5. Access to support for challenging whole school situations through advisors with senior level management experience and experienced educational psychologists.
6. Direct links into PAR (Pupils at Risk of exclusion mtg), PPP (Pupil Placement Panel & Fair Access process), VCF (Vulnerable Children's Fund) and other relevant systems/services
7. Support from workers where appropriate to help implement/model strategies in school.

8. Clear information of key personnel and agencies within West Berkshire –regularly updated.
9. Suggestions and links regarding potential training needs
10. Access to circle of adults meetings facilitated by an educational psychologist and another skilled worker for pupils at risk of permanent exclusion.

### Proposed Cost of Delivery in 2018/19

The following table summarises the proposed cost of the service for 2017/18. It is based on employing the team members outlined above.

	2017/18 £	2018/19 Proposed £	% Increase
Staffing Costs	198,460	203,230	
Other Costs	6,150	6,150	
Support Service Recharges	19,400	20,940	
Total Cost	224,010	230,320	2.8%
Less Surplus Brought Forward	- 10,640	- 12,690	
<b>Amount to be De-Delegated</b>	<b>213,370</b>	<b>217,630</b>	<b>2.0%</b>

The overall cost of delivering the service has increased by 2.8% which takes into account the proposed changes to the staffing structure of the team outlined above together with the expected April 2018 pay award and salary increments due to existing staff. However, as the service spent £12,690 below the amount agreed to be de-delegated in 2016/17, this amount can be used to help meet the cost of delivering the service in 2018/19. As the underspend in 2016/17 was slightly higher than in 2015/18, the amount proposed to be de-delegated in 2018/19 is therefore 2% higher than in 2017/18.

This does not take into account income which will be earned from any Academies which choose to buy back this service. Any additional income received from this source will reduce the net cost and the charge to maintained schools.

### Method of charging in 2018/19

The total net cost of the service will be divided by the total number of pupils recorded in the October 2017 census to arrive at a per pupil amount for charging purposes. Using October 2016 census data to provide an indicative amount, this would equate to £13.38 per pupil. Appendix A of the main report shows the indicative total amount per school.

Other Options which *may* be considered

1. The local authority offer a fully traded service (likely to increase the cost to individual schools).
2. Schools “pay as you go” either by employing/using own staff when needed or purchasing support from external providers (may include the local authority if still able to offer this service).
3. Local authority to consider an alternative (cheaper) service to offer.

## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2018-19

#### Ethnic Minority & Traveller Achievement Service (EMTAS)

##### Outline of Proposed Service 2018/19

Since April 2012, the EMTAS service has been funded through a de-delegation process as agreed with the Heads Funding Group. Historically the Ethnic Minority Achievement Service was provided to West Berkshire Schools through a consortium arrangement hosted through Reading Borough Council and the Gypsy, Roma and Traveller (GRT) Service was through a consortium hosted through Wokingham District Council. The EMA service was brought in house several years ago and the GRT service became a West Berkshire Service in 2009. All of the support for Black Minority Ethnic, English as an additional language (EAL) pupils and Gypsy, Roma and Traveller (GRT) pupils is provided by the EMTAS Service.

The current service is led by a Team Manager (0.8FTE), supported by a Learning Support Adviser (a qualified teacher) for 0.6 FTE. There are 5 part time Pupil Support Officers (Teaching Assistant level posts) who are employed for a total of 3.0 FTE. The service has administrative support for 1 day per week.

The Team Manager is responsible for the day to day management of the service.

- Organisation of English language assessments of new arrivals and advanced bilingual speakers;
- Arranging advice and support for individual pupils, including those with EAL and SEN, for staff
- Arranging support for first language GCSE/AS/A2 papers; SATs maths translation.
- Arranging in- house school INSET focusing on EAL teaching and learning.
- LA wide INSET around issues such as the Equality Act 2010 and bespoke support for individual schools where necessary
- Leading training for teachers and teaching assistants on EAL/BME issues.
- Organisation of tailored packages of support to schools meet the needs of ethnic minority pupil and those from Gypsy, Roma, Traveller families.
- Joint working with other agencies to support schools with ethnic minority pupils.
- Provision of language assessments and support of unaccompanied asylum seeking children (UASC) in schools.
- Advice and guidance documents and resources to schools.

The Learning Support Adviser is responsible for providing support to schools. This includes:

- Carrying out the English language assessments for new arrivals. West Berkshire assessment requests have remained steady at approximately 100 - 120 per academic year.
- Providing assessment reports with recommendations and guidance for classroom teachers.
- Tracking the attainment of GRT pupils termly.
- Support and guidance to schools with GRT pupils and managing the Great 121 project which trains teaching assistants to work on short term intensive programmes of learning to enable GRT pupils to narrow the gap in attainment with their peers.

The Pupil Support Officers (PSO) all work in schools supporting individual and small groups of pupils.



## De-delegation Proposals 2018/19

- Bilingual support is provided for Polish, German, Portuguese, Bengali, Hindi.
- Support is focused on helping pupils to access the curriculum and English acquisition which can include pre-teaching of concepts; support for written work; translations; support for external examinations.
- Unaccompanied Asylum Seeking children and young people receive weekly support in class from EMTAS
- PSOs support schools with parent meetings/ FSM letters/interpreting for parents at SEND reviews.
- The Pupil Support Officer for GRT pupils has a wider brief involving intensive liaison between families and staff as well as supporting pupils in schools. GRT families are supported with attendance, admissions, transition, access to extra-curricular activities and engagement with learning.

## Benefits of Service

### Number of EAL assessments completed in the last three years

In 2015/16 117 assessments were carried out in 43 primary schools and 4 secondary schools. In 2016/17 the current number of assessments is 85 in 31 primaries and 4 secondaries. This number will continue to rise during the rest of the term and is likely to be close to previous levels of assessments. The autumn term has continued to have the highest number of referrals than in other terms.

EAL assessments, including guidance and reports, have been completed in the following schools in 2016/17:

Birch Copse	Beedon
Calcot Infant	Calcot Junior
Compton	Downsway
Falkland	Garland
Francis Baily	Hungerford
Long Lane	Kennet Valley
Mortimer St. John's Infant	Lambourn
Parsons Down Infant	Mortimer St. Mary's Junior
St. Finians	Mrs Bland's Infant
St. John the Evangelist Infant	Purley
St. Joseph's	Robert Sandilands
Sulhamstead and Ufton Nervet	Speenhamland
Thatcham Park	St. Nicolas
Westwood Farm Infant	Stockcross
The Willows	The Winchcombe
Westwood Farm Junior	Little Heath
John O'Gaunt (Academy)	Theale Green (Academy)
Park House (Academy)	

### PSO (Bengali/Hindi)

Bilingual support has been provided in the following schools this year:

Calcot Infant	St. Nicolas Junior
Victoria Park Nursery	Calcot Nursery
Westwood Farm	

Schools have also received assistance with Bengali/Hindi first language assessments, CP cases, Speech and Language, SEND issues and parental interviews in other settings.

**PSO (Polish)**

Theale Green (Academy)	Francis Baily
Thatcham Park	Calcot Junior
Little Heath	Robert Sandilands
Trinity (Academy)	Inkpen
St John the Evangelist	The Willows
St. Joseph's	Park House
Birch Copse	Brookfields

The Polish PSO has carried out the oral component of GCSE Polish and relevant tuition. Also AS level Polish and 'A' level Polish.

The Polish PSO has translated the mathematics papers of the KS2 SATs for individual eligible pupils.

Schools have also received assistance with Polish first language assessments, setting up EAL coffee mornings, SEND, joint working with 'Cognition and Learning' and 'Speech and Language' and parental meetings in other settings.

**PSO (UASC)**

Four secondary aged unaccompanied asylum seeking children from Iraq, Eritrea and Syria have been supported this year. EMTAS provides academic, exam and pastoral support in lessons and in tutor time. This PSO also attends Personal Education Planning meetings, liaising with SENCOs, Social Workers, Heads of Year and the LACES team. Support has been provided at the following schools this year:

Trinity School (Academy)	Kennet School (Academy)
St. Joseph's	

This PSO has also provided regular in-class support for three primary aged children who arrived with their family as part of the Syrian resettlement.

**PSO (Portuguese)**

Portuguese and Brazilian pupils in the following schools have received Polish PSO support in this academic year.

John Rankin Infant	Little Heath
Kennet Valley	Park House (Academy)
Francis Baily	St. Nicolas
St. Paul's	Robert Sandilands
Speenhamland	John Rankin Junior

Schools have also received assistance with Portuguese first language assessments, joint working with Education Psychology, Speech and Language, EAL coffee mornings, SEND issues, FSM and interpretation for parents in other settings.

EMTAS has carried out the oral component of GCSE Portuguese and preparation tuition. The Portuguese PSO has translated the mathematics papers of the KS2 SATs for individual eligible pupils.

**Number of TA funded hours given to schools**

## De-delegation Proposals 2018/19

2015/16	2016/17
1,100 hours (EAL)	955 hours (EAL)
60 hours (GRT)	90 hours (GRT)
Total £9,291.60	Total £12,015

**Schools in receipt of GReaT 1 to 1 project funding during 2016/17** to provide targeted intervention for Gypsy, Roma and Traveller pupils. (hours included in the figures above):

Aldermaston	Beenham
Garland Junior	Hermitage
Basildon	

### Number of training sessions (both general and school specific)

2015/16	2016/17
New Arrivals with EAL	New Arrivals with EAL
SCITT	SCITT
NQT	EAL Co-ordinator's Network meeting
Social Work Academy	TA EAL training Hermitage School
EAL Co-ordinator's Network meeting	EAL training for teachers and TAs Thatcham Park School
LSCB GRT training	
The Winchcombe School – EAL all teachers	
Garland School Gypsy Roma & Traveller	
Mrs Bland's School Gypsy Roma & Traveller	
John Rankin Jnr and Infants: TAs Supporting EAL pupils	

### Number of families supported by PSO (GRT)

West Berkshire has 102 children who are ascribed as Gypsy, Roma or Traveller. This number has increased from 2014/15 when it was 88. 34 West Berkshire schools have Gypsy, Roma and Traveller pupils on roll. This has increased from 24 in 2015/16 as ascription is increasing.

Approximately 55 GRT families have been supported by the PSO GRT and work continues with new families being ascribed to GRT status. Transition support has been provided between schools and also when pupils have been transferring from out of West Berkshire into our schools. This work involves 'in year' changes as well as end of Key Stage transitions. Children from Circus families have been supported in accessing education whilst in the LA.

**Number of schools supported with GRT pupils**

The following schools have received support from EMTAS for Gypsy, Roma and Traveller pupils.

Aldermaston	Sulhamstead and Ufton Nerve
Basildon	Theale Green (Academy)
Garland Junior	Thatcham Park
Hermitage	Alternative Curriculum
Fir Tree (Academy)	Mrs Bland's Infants
Kennet Valley	The Willink
John Rankin Infant	Yattendon
Beenham	

EMTAS organised a day of off-site activities for GRT children in the August holiday. This included children from both Traveller sites in West Berkshire and some housed Travellers. They took part in canoeing at Adventure Dolphin and a family picnic.

**Number of sessions run by the Learning Bus**

7 sessions have been delivered from September 2016 to July 2017 on the 'Bus of Hope'. These have taken place monthly at Paices Hill Traveller site and have provided Parent and Toddler activities for families. These sessions have enabled Family Hubs staff, the Fire and Rescue Service, EWOs, Health Visitors, schools and other agencies to make contact with 'hard to reach' families through working alongside EMTAS.

**Proposed Cost of Delivery in 2018/19**

The following table summarises the proposed cost of the service for 2018/19 in comparison with 2017/18.

	2017/18 £	2018/19 Proposed £	% Increase
Staffing Costs	182,010	185,480	
Other Costs	31,530	31,720	
Support Service Recharges	21,000	21,720	
Total Cost	234,540	238,920	1.9%
Less Surplus Brought Forward	- 3,150	- 38,300	
	231,390	200,620	
Less income from Special and Nursery Schools and PRUs		- 27,143	
<b>Amount to be De-Delegated</b>	<b>231,390</b>	<b>173,477</b>	<b>-25.0%</b>

The overall cost of delivering the service has increased by 1.9% which is in line with the estimated increase in staffing costs due to the expected April 2018 pay award and increments expected to be paid to existing staff. However, as the service spent £38,300 less than the amount which was agreed to be de-delegated in 2016/17, this amount can be used to help meet the cost of delivering the service in 2018/19. The amount proposed to be de-delegated in 2018/19 is therefore lower than in 2017/18.

## Method of charging in 2018/19

The total cost of the service will be divided by the total number of pupils recorded as having English as an additional language (for up to 3 years after they enter the statutory school system) in the October 2017 census to arrive at a per pupil amount for charging purposes. Using October 2016 census data to provide an indicative amount, this would equate to £317.07 per pupil. Appendix A of the main report shows the indicative total amount per school.

## Other Options which *may* be considered

Schools receive a high quality level of support in West Berkshire which has been highly valued by those that have used the service. The centrally funded service has allowed all schools to receive the level of support that they need which has not been directly linked to the number of pupils in schools.

If schools did not support a centrally delivered service to meet the needs of English as an additional language learners/Black Minority Ethnic pupils and those from the Gypsy Roma Traveller community they could expect to have to purchase support at the following rates:

An EAL assessment and report	£500-£600
Support for individual pupils by a Pupil Support Officer	£200 a day
Training on Equality and Diversity including Equality Act requirements; EAL bilingualism, meeting the needs of GRT pupils tailored to schools	
Requirements	£600-£800 a day
Tailored support provided by staff with relevant expertise	£400-£500 a day

## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2018-19

#### Trade Union Representation Service

### Outline of Proposed Service 2018/19

West Berkshire Council has a school trade union facilities agreement which includes provision for compensating individual schools for release time for teacher trade union representatives they employ. Compensation is paid from the dedicated schools grant (DSG).

Union representatives attend joint consultation meetings with the authority and meetings with head teachers and HR on a variety of employee relations matters. The latter includes TUPE consultation meetings where schools converted to academy status; consultation on reorganisations of teaching and support to staff (note: NASUWT and ATL also represent non teaching staff; NUT only represents teachers); disciplinary issues; grievances; ill health cases; capability cases; and settlement agreements.

#### **What union officers do**

Union officers use 'facilities time' to work with members experiencing professional difficulties (casework) and to support groups of members either in individual schools or through negotiation and consultation with the local authority acting on behalf of its schools (collective work). The casework dealt with by union officers falls into two broad categories: individual issues and collective issues.

#### Individual casework issues

The union officers spend most of the facilities time dealing with members. Union members in West Berkshire schools are able to contact their union representative directly by email or telephone. Issues raised by members in this way are known as casework. Casework can be divided into capability; disciplinary; grievance; and contracts, pay and conditions

Advice is often given on how the teacher can seek to resolve the matter for themselves. However, there are a number of cases where the union officer has to make contact with school management, human resources providers or an LA officer directly. Employees are entitled to be accompanied by a union officer at formal meetings under school HR procedures.

Contracts, Pay and Conditions issues such as pay determination appeals and questions of what teachers can be directed to do are becoming increasingly common.

#### **Collective Issues**

These include consultation on changes to working conditions such as pay policies, sickness absence policies, codes of conduct restructuring and redundancy. This school year has seen an increase in the number of school restructurings accompanied by the risk of redundancy, as school budgets come under increasing pressure. The redundancy procedure is complex and often involves multiple meetings. The threat of redundancy can quickly undermine morale in a school and often the role of union

officers is to reassure and support employees as well as ensuring that correct procedures are followed.

## Benefits of Service

The following data gives information on the level and types of support provided in 2015/16:

### Number of contacts made to/by union officers in 2015/16

Casework	Email	Phone	In person	Meeting
Capability Issues <sup>1</sup>	26	12	11	6
Pay & Conditions	19	7	4	3
Contracts	4	3	0	1
Disciplinary Issues	5	5	3	2
Grievance	4	6	1	1
Redundancy**				20
Restructuring**				8
<b>TOTAL</b>	<b>58</b>	<b>33</b>	<b>19</b>	<b>41</b>

Collective	In Person
LA Meetings <sup>2</sup>	27**
Del Train	9
<b>Personal</b>	
Receive Train	14
Research	Not recorded
Union Briefing	15

<sup>1</sup> Includes formal support through appraisal

<sup>2</sup> Such as Joint Consultative Panel and Education Liaison meetings.

\*\* Number of attendances. Officers of several unions are normally present at each meeting

#### Notes

This is hierarchical, i.e. an email that leads to a meeting is not recorded.

**Email:** number of members supported by an exchange of emails

**Phone:** number of members supported through at least one phone call.

**In person:** number of members with whom a officer has met at least once

**Meeting:** number of members supported at a meeting with management.

**Hearing:** number of members supported at a hearing

Officers also spend time on internal union organisation such as attending, committee and general meetings. These activities are not undertaken in 'facilities time' Each union has a support infrastructure for its officers that includes reference resources as well as briefings and training courses included above.

## Proposed Cost of Delivery in 2018/19

The following table summarises the proposed cost of the service for 2018/19, compared to 2017/18. It is based on engaging a representative from each of the unions:

Union	2017/18	Proposed 2018/19
NASUWT		£14,745
NUT		£14,698
ATL		£12,634
NAHT		£3,264
ASCL		£2,244
<b>Total Direct Costs</b>		<b>£47,580</b>
Support Service Recharges		4,760
<b>Total Cost</b>		<b>£52,340</b>
Income from Academies		£1,696
<b>Cost to Maintained Schools</b>		<b>£50,644</b>
Less income from Nursery and Special Schools and PRUs		£2,202
<b>Cost to Primary and Secondary Schools</b>	<b>£48,900</b>	<b>£48,442</b>

The proposed budget for 2018/19 is based on:

- Reimbursement to schools providing release time for teacher trade union activities is dependent on agreement by Schools Forum in respect of maintained primary and secondary schools and from other schools which elect to buy in the facilities time - approximately equivalent to 1fte supply teacher across all unions, paid on UPS 3;
- Each trade union to have five days for activities including attendance at local authority consultative meetings;
- Balance of budget available is divided proportionately by the number of current members in each union as at 1<sup>st</sup> June (the budget will be adjusted depending on the actual level of buy back from other schools).

Note that representatives work across all sectors, and it is irrelevant what type of school they are employed by. Therefore the total net cost is divided between all schools de-delegating rather than taking each sector separately.

## Method of charging in 2018/19

The total cost of the service will be divided by the total number of pupils recorded in the October 2017 census to arrive at a per pupil amount for charging purposes. Using October 2017 census data to provide an indicative amount, this would equate to £3.15 per primary and secondary pupil. Appendix A of the main report shows the indicative total amount per school. Academies and other schools may choose to buy into the service at the same per pupil rate (this would provide funding for additional hours).

## Other Options which *may* be considered

It should be noted that once a decision has been made to discontinue pooling arrangements, it would be almost impossible to reverse that decision at a later date. Therefore the HFG and SF need to be aware that a decision to cease pooling arrangements for this budget would be permanent.



Currently some academies are using their allocation for trade union facilities time to set up school based consultative arrangements, rather than 'buying in' to local authority arrangements. This might be the preferred model for all secondary schools in the future with de-delegation and funding of release time for representatives to undertake union duties in another WBC school to be confined to the Primary sector.

There may also be the option to consider a reduced service at a lower cost to schools.

## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2018-19

#### CLEAPSS Service

### Outline of Proposed Service 2018/19

West Berkshire Council has an agreement with CLEAPSS (Consortium of Local Education Authorities for the Provision of Science Services) which includes the provision of support and advice to teachers, technicians, head teachers and governors/trustees on how best to use high quality practical work to support pupils learning in science, design & technology and, most recently, art & design.

All but two of the 182 authorities, with the duty to provide education, in England, Wales and Northern Ireland and the various islands, are members of CLEAPSS.

The Local Authority can offer schools and academies the opportunity to purchase an annual CLEAPSS subscription at a heavily discounted price from that which schools would pay independent of West Berkshire Council.

The CLEAPSS subscription includes Radiation Protection Officer (RPO) (including site visit/assessment) and the Radiation Protection Adviser Service (RPA) for secondary schools and academies.

### Benefits of Service

CLEAPSS covers:

- Health & safety including model risk assessments
- Chemicals, living organisms, equipment
- Sources of resources
- Laboratory design, facilities and fittings
- Technicians and their jobs
- D&T facilities and fittings

CLEAPSS provides:

- Termly newsletters for primary and secondary schools
- A wide range of free publications
- Model risk assessments
- Special risk assessments
- Low-cost training courses for technicians, teachers and local authority officers
- A telephone helpline
- A monitoring service, e.g. for mercury spills
- Evaluations of equipment
- Advice on repairs
- A H&S / Review of service publishers, exam boards and other organizations producing teaching resources

The local authority will have met the conditions of membership if all community schools subscribe.

## Costs and Method of charging for 2018/19

CLEAPSS set the pricing each year in January/February for the financial year April to March ahead. In 2017/18 the charge to schools was 15 pence per pupil including administration costs plus £220 per secondary school for the RPA and RPO services.

The proposal for 2018/19 is to set a rate per pupil of 16 pence per pupil which is expected to cover any increase in the CLEAPSS fee and the cost of administration. As the de-delegation covers pre 16 pupils only, maintained secondary schools will need to pay the 6<sup>th</sup> form element of the fee as a separate sum. Any shortfall or surplus will be carried forward to the following year.

## Other Options which may be considered

Independent, Academies, Foundation and VA schools may purchase the CLEAPSS subscription directly through CLEAPSS at an increased price.

The proposed cost per pupil/school is shown in the table below in comparison with the cost of buying this service directly from CLEAPSS

School	Cost through local authority per pupil	Cost directly per pupil (min 200 pupils/ 350 secondary)	Radiation Protection Advisor	Radiation Protection Officer
Primary	16p	21p	N/A	N/A
Secondary	16p	27p	£40	£185
Special	16p	21p	N/A	N/A
PRU	16p	21p	N/A	N/A

## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2018-19

#### Statutory and Regulatory Duties - Accountancy, Audit and Pension Scheme Administration

Accountancy (Statutory Functions)
<p><b>Description of Duties:</b>            Consolidation of school accounts into Council's year end statement of accounts.</p> <p>Overview of school budget submissions &amp; budget monitoring reports.</p> <p>Monitoring of schools in deficit.</p> <p>Monitoring adherence to Scheme for Financing Schools.</p> <p>Returns to Central Government – CFR, CFO grants return.</p> <p>Administration of grants &amp; other funding to maintained schools eg. PPG, budget allocations &amp; adjustments.</p>
<p><b>Cost: £33,793</b></p>
<p><b>0.35 FTE Accountant</b>  <b>0.10 FTE Senior Accountant</b>  <b>0.15 FTE Finance Manager</b></p>
Pension Scheme Administration
<p><b>Description of Duties:</b>            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.</p>
<p><b>Cost: £33,759</b></p>
<p>1.0 FTE Pensions Assistant</p>

Internal Audit of Schools – Statutory Requirements
<p><b>Description of Duties:</b> Annual internal audit of maintained schools according to level of risk - circa 10 schools are audited per year. Each audit takes on average 7 days. The audit covers Governance; financial planning and management; financial policy, processes and records; benchmarking and value for money; school fund, SFVS.</p> <p>We also carry out Follow-up reviews for those schools that have a weak or very weak audit report opinion.</p> <p>There is provision for adhoc advice to schools/issuing the Anti Fraud Advisory Bulletins and the investigation of any financial irregularities. We also monitor compliance with submitting the SFVS returns.</p> <p>We have also included an element of time for the planning and monitoring of the school visit programme, and liaising with Accountancy /governor support etc on queries when they arise.</p>
<p>Cost: £45,173</p>
<p>0.3FTE Senior Auditor 0.5 FTE Auditor 0.07 FTE Audit Manager 0.03 FTE Chief Internal Auditor</p>

## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2018-19

### Statutory and Regulatory Duties – Health and Safety

#### 1. Summary of Options

##### Option 1

- 1.1 Combine the costs of the provision of the schools health and safety service currently split and funded from de-delegated funds and through buy back income, thus removing the differing levels of service and maintain current staff levels.
- 1.2 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

- 1.3 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. 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.

#### 2. Legislative Context

- 2.1 The principal 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.
- 2.2 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.
- 2.3 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.

- 2.4 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.
- 2.5 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.
- 2.6 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.

### 3. Health & Safety Support Service

- 3.1 The Council has an established, professional and well regarded Health and Safety Team that already supports West Berkshire schools, currently through two service options, Level One and Level Two.
- 3.2 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. 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.
- 3.3 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 3.2 and 3.3 are not necessarily compatible with 2.3 above.
- 3.4 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.
- 3.5 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.
- 3.6 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.
- 3.7 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.

### 4. Update on position since last year

- 4.1 An options paper setting out a number of alternative ways that the schools health and safety service could be funded into the future was taken to the Schools Funding Forum in January.

- 4.2 There were options to move to a uniform service level delivered to all schools and funded by all schools paying an equal share based on pupil numbers and one option to remain with the part funded and part buy-back service as we are. Head Teachers voted to remain as we are with a Level 1 core service (funded by all schools) and the Level 2 buy-back support service.
- 4.3 Head Teachers accepted that if the Level 2 buy-back drops off then this would jeopardise the future provision of the service and requested that a further report be brought for their consideration if that was to happen.
- 4.4 As was somewhat expected at this time last year the overall buy-back of the service by schools did reduce slightly with around five schools dropping out due to budget constraints.
- 4.5 Buy back for the year 2017/8 was £93,280 with staffing costs around £110,666 including overheads, leaving a shortfall of around £17,386.
- 4.6 Funding for the Level 1 post, which was held vacant, offset this in the short term but we need to establish the structure and funding for the Schools H&S Team going forward.
- 4.7 We have recently been successful in a tender process for health and safety support service to the Excalibur Academies Trust for approximately £13,000 per annum. However, the volume of work means that we need to fill the vacant post to maintain service standards to all schools, thus adding to the financial pressure notwithstanding the additional income.
- 4.8 We were also successful in gaining work and income from Park House Academy and Dingley's Promise Nursery's.

## 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**

<b>Staffing Structure Required to deliver Option1:</b> 0.2 FTE Health & Safety Manager 1.0 FTE Health & Safety Officer 2.0 FTE Senior Health & Safety Officers	
<b>Total Cost of Service to Maintained Schools</b>	<b>£167k</b>
Less: Charge to maintained nursery, special, and PRU schools	-£7k
<b>Total Cost of Service Proposed to be met by Maintained Primary and Secondary Schools</b>	<b>£160k</b>
Estimated Rate per Pupil	£10.34



- 5.2 This staffing structure 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.
- 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 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.
- 5.5 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 2**

<b>Staffing Structure Required to deliver Option1:</b> 0.2 FTE Health & Safety Manager 1.0 FTE Health & Safety Officer	
<b>Total Cost of Service to Maintained Schools</b>	<b>£57k</b>
Less: Charge to maintained nursery, special, and PRU schools	-£2.5k
<b>Total Cost of Service Proposed to be met by Maintained Primary and Secondary Schools</b>	<b>£54.5k</b>
Estimated Rate per Pupil	£3.52

This is not a preferred option for the arguments set out above in 2.2, 2.3 and 2.4 in that it may not comply the spirit of the legislation. The work of the remainder of the team will rely on the buy-back which, in the recent few years has only just covered the costs of 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.

## **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 schools.

## Report title: High Needs Place Funding 2018/19

**Report being considered by:** Heads Funding Group on 11<sup>th</sup> October  
Schools Forum on 30<sup>th</sup> October

**Report Author:** Jane Seymour

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

### 1. Purpose of the Report

- 1.1 The purpose of the report is to advise Heads' Funding Group and Schools Forum members of planned places allocated currently to special schools, resourced schools, FE providers and mainstream sixth forms and likely numbers of pupils in those institutions requiring planned place funding in 2018-19.

### 2. Recommendation(s)

- 2.1 That the report is noted and any implications for the HNB budget are incorporated in to the report which will be brought to the next meeting on the draft HNB budget for 2018-19.

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

- 3.1 Place funding is allocated by the Education Funding Agency for children and young people with high level needs who are under 16 and attend a special or resourced school.
- 3.2 Place funding is also allocated by the Education Funding Agency for young people with high level needs who are over 16 and attend a mainstream school, special school, resourced school or FE College.
- 3.3 Places currently funded by the EFA and actual places currently filled are as follows:

SCHOOL / INSTITUTION	Planned Places 2017/18	ACTUAL Numbers Sept 17	Difference
<b>Primary schools with special resources</b>			
Fir Tree (ASD Resource)	0	2 (but 5 places needed)	-5
Speenhamland (PD Resource)	10	8	+2
The Winchcombe (Speech Lang Resource)	15	12	+3

Theale Primary (ASD Resource)	10	7	+3
Westwood Farm Infant (HI Resource)	5	3	+2
Westwood Farm Junior (HI Resource)	10	6	+4
<b>Secondary (special resources / post 16 only)</b>			
Denefield	2	TBC	
John O'Gaunt	0	TBC	
Kennet (inc. PD & HI Resource)	38	9 HI+14 PD = 23 + m/s TBC	
Little Heath	5	TBC	
Park House	2	TBC	
St. Bartholomew's	2	TBC	
The Downs	1	TBC	
The Willink	2	TBC	
Theale Green (inc. ASD Resource)	15	14 ASD + m/s TBC	
Trinity (inc. SpLD Resource and ASD Resource)	39	27 SPLD + 9 ASD = 36 + m/s TBC	
<b>Special schools</b>			
Brookfields	218	225	-7
The Castle	147	169	-22
<b>FE Colleges</b>			
Newbury College	91	103	-12
West Berkshire Training Consortium	4	4	0
<b>TOTAL (excluding PRUs)</b>	<b>616</b>		

- 3.4 The EFA will base 2018/19 financial year place funding on the place funding allocated for 2017/18. There will be no opportunity for Local Authorities to request additional planned places.
- 3.5 The total number of planned places in 2018/19 will therefore remain the same as in 2017/18. Local Authorities will have the flexibility to move planned place funding between institutions, in line with any changing patterns of need, but there will be no overall increase in planned place funding.
- 3.6 Any places which need to be funded over and above the current total of 616 will therefore represent a pressure on the High Needs Block.
- 3.7 There is a shortfall this year in planned place funding from the EFA for Brookfields, The Castle, the new Fir Tree ASD Resource and Newbury College. Funding for planned places has been allocated to these schools which represents a budget pressure in the High Needs Block in the current financial year. (This was taken in to account in budget planning for 2017-18).

- 3.8 It should be noted that the number of high needs students at Newbury College has not yet been finalised due to late enrolments.
- 3.9 The new Fir Tree ASD resource has 2 pupils currently but requires 5 planned places due to the disproportionately high costs of educating a small number of pupils when a new resource opens.
- 3.10 The SEN Assessment Team is currently in the process of reviewing place funding requirements for 2018/19. This process will involve consideration of actual numbers of high needs pupils in placements, intelligence about possible changes of placement in 2018/19 and views from the schools / institutions themselves about their likely numbers.
- 3.11 As some institutions have more planned places than they require, a decision will need to be taken for 2018/19 as to whether some of the “surplus” planned places are reallocated. However, this is likely to be difficult for small resourced units as they may then be unable to fund the required basic level of staffing to run the resource.
- 3.12 The numbers of students with Education Health and Care Plans in mainstream school sixth forms have not been included in this report and are currently being confirmed. The planned places for mainstream sixth forms are based on historical numbers and so if numbers are now lower there may be scope to reallocate some planned place funding.
- 3.13 The report which will be brought to the next HFG / Schools Forum meeting on the High Needs Budget for 2018-2019 will incorporate any possible savings through reduction in planned place funding where it is no longer required and also any possible budget pressures where there is a shortfall of planned place funding.

#### **4. Supporting Information**

- 4.1 See above.

#### **5. Options for Consideration**

- 5.1 Not applicable.

#### **6. Proposals**

- 6.1 See above.

#### **7. Conclusion**

- 7.1 See above.

#### **8. Consultation and Engagement**

- 8.1 Schools were asked to confirm their numbers as being correct.

#### **9. Appendices**

- 9.1 None.

## 10. Heads Funding Group Recommendation

10.1 That the report is noted.

## Dedicated Schools Grant Monitoring Report 2017/18 – Month 6

**Report being considered by:** Schools Forum  
**On:** 30/10/2017  
**Report Author:** Ian Pearson  
**Item for:** Discussion      **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.

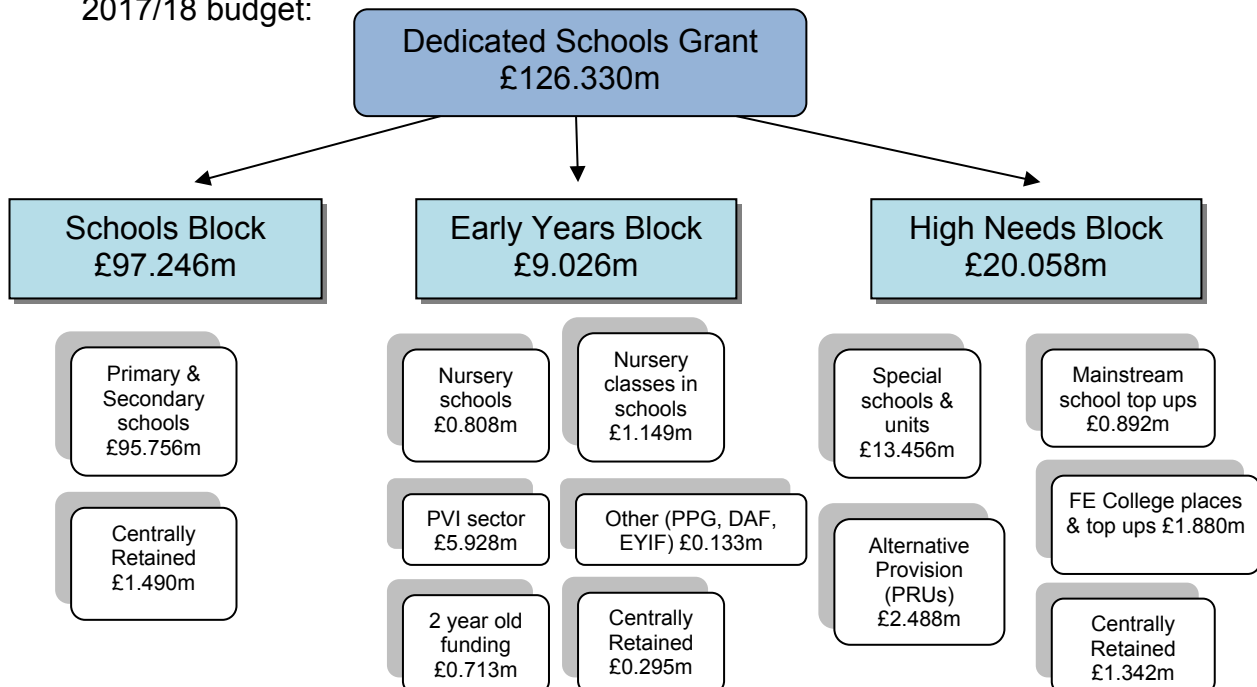
<b style="color: #008080;">Will the recommendation require the matter to be referred to the Council or the Executive for final determination?</b>	Yes: <input type="checkbox"/>	No: <input checked="" type="checkbox"/>
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### 3. Background

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 2017.

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 2017/18 budget:



## Dedicated Schools Grant Monitoring Report 2017/18 – Month 6

### Notes:

- The figures above include expected net overspend of grant totalling £0.426m. The actual in-year grant allocation is £125.904m
- 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
- 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 £35,020k.

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.

## 4. Monitoring Position as at Month 6 (30 September 2017)

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

**Table 1**

	Total Net Budget	Forecast (under) / over spend					Change from last report
		Month Three	Month Six	Month Seven	Month Nine	Month Ten	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>DSG Block</b>							
Schools Block (inc ISB)	64,286	0	0				0
Early Years Block	8,983	0	0				0
High Needs Block	17,518	0	11				11
<b>Total Net Expenditure</b>	<b>90,787</b>	<b>0</b>	<b>0</b>				<b>11</b>
Support Service Recharges	523	0	0				0
<b>Total Expenditure</b>	<b>91,310</b>		<b>0</b>				<b>0</b>
DSG Grant Expected	-90,506	0	0				0
<b>Net Position</b>	<b>804</b>	<b>0</b>	<b>0</b>				<b>0</b>

4.2 The budgeted over spend of £844k on DSG in 2017/18 was approved by the Schools' Forum in March 2017, after consideration of the three year position, as it was forecast that the over spend could be paid back over two years (assuming costs overall do not significantly increase and our DSG allocation remains at a similar level). The budgeted overspend in 2017/18 has now been reduced by £40k to £804k, because the final amount of grant brought forward from 2016/17 was £80k higher than expected, but this was offset by the claw back of 2016/17 early years funding and other minor adjustments made by the DfE in July 2017.



4.3 Explanations for variances per funding block are summarised in the following paragraphs.

## 5. Schools Block

5.1 Table 2 sets out the current position of the Schools Block. At this stage in the year, no variance is forecast. The main risk of over spend in this block is in relation to business rates (as schools are funded according to their actual rates bill). There is a small budgeted overspend due to the 2016/17 carry forward of over spend arising from rating revaluations during the year.

**Table 2 – Schools Block**

	<b>Current Budget £</b>	<b>Current Forecast £</b>	<b>Variance £</b>
Expenditure	64,286,490	64,286,490	0
Support services	333,800	333,800	0
Schools Block DSG	-64,593,080	-64,593,080	0
<b>Net Position</b>	<b>27,210</b>	<b>27,210</b>	<b>0</b>

## 6. Early Years Block

6.1 Table 3 sets out the current position of the early years block. 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 2018 census), and payments to providers (payments are made according to actual number of hours of provision each term). The budgeted overspend is due to last year's grant not meeting the payments made to providers, and is planned to be repaid over a three year period.

**Table 3 – Early Years Block**

	<b>Current Budget £</b>	<b>Current Forecast £</b>	<b>Variance £</b>
Expenditure	8,982,690	8,982,690	0
Support services	43,690	43,690	0
EY Block DSG	-8,739,610	-8,739,610	0
<b>Net Position</b>	<b>286,770</b>	<b>286,770</b>	<b>0</b>

6.2 Summer term payments to providers have been made and are on line with the budget set, so no variance is forecast at this point in time. We will aim to report any forecast variance arising from the Autumn term payments at month 7.

## 7. High Needs Block

7.1 Table 4 sets out the current position of the High Needs Block.

**Table 4 – High Needs Block**

	<b>Current Budget £</b>	<b>Current Forecast £</b>	<b>Variance £</b>
Expenditure	17,517,790	17,528,620	10,830
Support services	145,640	145,640	0
HN Block DSG	-17,172,790	-17,172,790	0
<b>Net Position</b>	<b>490,640</b>	<b>501,470</b>	<b>10,830</b>

- 7.2 A variance of 11k is now reported in respect of the Sensory Consortium. These additional costs relate to pupils with HI or VI who have either moved in to the area or who have moved from specialist to mainstream provision and whose needs for teacher of the deaf or teacher of the visually impaired support cannot be met from the Sensory Consortium core service. It is therefore necessary to purchase additional sessions to top up the core service
- 7.3 High needs top up budgets were set according to the number of placements in the Spring term, and no variance from budget is yet forecast. However, there is a strong possibility that forecast expenditure may change in the second half of the autumn term, or in the spring term, due to funding following the pupil.

## 8. Conclusion

- 8.1 There is currently only a small overspend of £11k forecast in the High Needs Block. However there is a strong possibility that further variances may arise on the budgets for high needs top ups and early years payments in the second half of the autumn term, or in the spring term.

## 9. Appendices

Appendix A – DSG 2017-18 Budget Monitoring Report Month 6

Dedicated School's Grant (DSG) 2017-18 Budget Monitoring Month 6								
Budget manager	Cost Centre	Description	Original Budget 2017-18	Net Virements in year	Amended Budget 2017-18	Forecast	Variance	Comments
Ian Pearson	90020	Primary Schools (excluding nursery funding)	47,293,060		47,293,060	47,293,060	0	
Ian Pearson	DSG top slice	Academy Schools Primary	0		0	0	0	
Ian Pearson	90025	Secondary Schools (excluding 6th form funding)	14,544,690		14,544,690	14,544,690	0	
Maxine Slade	DSG top slice	Academy Schools Secondary	0		0	0	0	
Ian Pearson	90230	DD - Schools in Financial Difficulty (primary schools)	119,980	194,670	314,650	314,650	0	
Rob O'Reilly	90113	DD - Trade Union Costs	44,040		44,040	44,040	0	
Hazel Davies	90255	DD - Support to Ethnic minority & bilingual Learners	210,580	41,450	252,030	252,030	0	
Michelle Sancho	90349	DD - Behaviour Support Services	193,860	23,330	217,190	217,190	0	
Ian Pearson	90424	DD - CLEARSS	2,980		2,980	2,980	0	
Elaine Ricks-Neal	90470	DD - School Improvement	223,240		223,240	223,240	0	
Ian Pearson	90423	DD - Statutory & Regulatory Duties	144,200		144,200	144,200	0	
Ian Pearson	90235	School Contingency - Growth Fund/Falling Rolls Fund	202,000		202,000	202,000	0	
Ian Pearson	90583	National Copyright Licences	128,940		128,940	128,940	0	
Ian Pearson	90019	Servicing of Schools Forum	42,240		42,240	42,240	0	
Ian Pearson	90743	School Admissions	236,460		236,460	236,460	0	
Karen Pottinger	90354	ESG - Education Welfare	224,810		224,810	224,810	0	
Ian Pearson	90422	ESG - Asset Management	54,030		54,030	54,030	0	
Ian Pearson	90460	ESG - Statutory & Regulatory Duties	361,930		361,930	361,930	0	
<b>Schools Block Total</b>			<b>64,027,040</b>	<b>259,450</b>	<b>64,286,490</b>	<b>64,286,490</b>	<b>0</b>	
Ian Pearson	90010	Early Years Funding - Nursery Schools	807,540		807,540	807,540	0	
Avril Allenby	90037	Early Years Funding - Maintained Schools	1,148,970		1,148,970	1,148,970	0	
Avril Allenby	90036	Early Years Funding - PVI Sector	5,928,090		5,928,090	5,928,090	0	
Ian Pearson	90052	Early Years PFG & Deprivation Funding	39,900		39,900	39,900	0	
Avril Allenby	90051	Disability Access Fund	18,450		18,450	18,450	0	
Avril Allenby	90018	2 year old funding	713,430		713,430	713,430	0	
Avril Allenby	90017	Central Expenditure on Children under 5	206,310		206,310	206,310	0	
Rhian Ireland	90287	Pre School Teacher Counselling	45,000		45,000	45,000	0	
Rhian Ireland	90238	Early Years Inclusion Fund	75,000		75,000	75,000	0	
<b>Early Years Block Total</b>			<b>8,982,690</b>	<b>0</b>	<b>8,982,690</b>	<b>8,982,690</b>	<b>0</b>	
Nicola Ponton	90026	Academy Schools RU Top Ups	768,370		768,370	768,370	0	
Nicola Ponton	90539	Special Schools - Top Up Funding	3,237,280		3,237,280	3,237,280	0	
Nicola Ponton	90548	Non WBC Special Schools - Top Up Funding	1,086,890		1,086,890	1,086,890	0	
Nicola Ponton	90575	Non LEA Special School (OofA)	891,130		891,130	891,130	0	
Nicola Ponton	90579	Independent Special School Place & Top Up	2,012,700		2,012,700	2,012,700	0	
Nicola Ponton	90580	Further Education Colleges Top Up	1,309,980		1,309,980	1,309,980	0	
Nicola Ponton	90617	Resourced Units top up Funding maintained	202,620		202,620	202,620	0	
Nicola Ponton	90618	Non WBC Resourced Units - Top Up Funding	55,000		55,000	55,000	0	
Nicola Ponton	90621	Mainstream - Top Up Funding maintained	534,010		534,010	534,010	0	
Nicola Ponton	90622	Mainstream - Top Up Funding Academies	191,410		191,410	191,410	0	
Nicola Ponton	90624	Non WBC Mainstream - Top Up Funding	66,960		66,960	66,960	0	
Cathy Burnham	90625	Pupil Referral Units - Top Up Funding	875,870		875,870	875,870	0	
Nicola Ponton	90627	Disproportionate No: of HN Pupils NEW	100,000		100,000	100,000	0	
<b>High Needs Block: Top Up Funding Total</b>			<b>11,332,220</b>	<b>0</b>	<b>11,332,220</b>	<b>11,332,220</b>	<b>0</b>	
Cathy Burnham	90320	Pupil Referral Units	735,000		735,000	735,000	0	
Ian Pearson	90540	Special Schools	2,860,000		2,860,000	2,860,000	0	
Nicola Ponton	90584	Resourced Units - Place Funding (70)	350,000		350,000	350,000	0	
<b>High Needs Block: Place Funding Total</b>			<b>3,945,000</b>	<b>0</b>	<b>3,945,000</b>	<b>3,945,000</b>	<b>0</b>	
Nicola Ponton	90240	Applied Behaviour Analysis	76,000		76,000	76,000	0	
Rhian Ireland	90280	Spec Needs Spprt Team	311,840		311,840	311,840	0	
Rhian Ireland	90287	Pre School Teacher Counselling	40,000		40,000	40,000	0	
Rhian Ireland	90288	Elective Home Education Monitoring	27,660		27,660	27,660	0	
Jane Seymour	90290	Sensory Impairment	215,710		215,710	226,540	10,830	Additional visits required due to need.
Jane Seymour	90295	Therapy Services	267,460		267,460	267,460	0	
Cathy Burnham	90315	Home Tuition	345,000		345,000	345,000	0	
Rhian Ireland	90555	LAL Funding	116,200		116,200	116,200	0	
Nicola Ponton	90565	Equipment For SEN Pupils	10,000		10,000	10,000	0	
Jane Seymour	90577	SEN Commissioned Provision	455,160		455,160	455,160	0	
Cathy Burnham	90582	PRU Outreach	77,000		77,000	77,000	0	
Jane Seymour	90585	HN Outreach Special Schools	50,000		50,000	50,000	0	
Nicola Ponton	90610	Hospital Tuition	45,000		45,000	45,000	0	
Rhian Ireland	90830	ASD Teachers	139,560		139,560	139,560	0	
Cathy Burnham	90961	Vulnerable Children	40,000	23,980	63,980	63,980	0	
<b>High Needs Block: Non Top Up or Place Funding</b>			<b>2,216,590</b>	<b>23,980</b>	<b>2,240,570</b>	<b>2,251,400</b>	<b>10,830</b>	
<b>High Needs Block Total</b>			<b>17,493,810</b>	<b>23,980</b>	<b>17,517,790</b>	<b>17,528,620</b>	<b>10,830</b>	
<b>Total Expenditure across funding blocks</b>			<b>90,503,540</b>	<b>283,430</b>	<b>90,786,970</b>	<b>90,797,800</b>	<b>10,830</b>	
<b>SUPPORT SERVICE RECHARGES</b>			<b>523,130</b>		<b>523,130</b>	<b>523,130</b>	<b>0</b>	
<b>TOTAL DSG EXPENDITURE</b>			<b>91,026,670</b>	<b>283,430</b>	<b>91,310,100</b>	<b>91,320,930</b>	<b>10,830</b>	

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## Schools Forum Work Programme 2017/18

	Item	HFG Deadline	Heads Funding Group	SF Deadline	Schools Forum	Action required	Author
<b>Term 2</b>	Scheme for Financing Schools 2017/18	21/11/17	28/11/17	04/12/17	11/12/17	Decision	Claire White
	Draft DSG Funding & Budget 2018/19	21/11/17	28/11/17	04/12/17	11/12/17	Discussion	Claire White
	Final School Formula Proposal 2018/19	21/11/17	28/11/17	04/12/17	11/12/17	Decision	Claire White
	Draft High Needs Budget 2018/19	21/11/17	28/11/17		11/12/17	Discussion	Jane Seymour & Michelle Sancho
	Draft Early Years Budget 2018/19	21/11/17	28/11/17	04/12/17	11/12/17	Discussion	Avril Allenby
	Update on Schools in Financial Difficulty	21/11/17	28/11/17	04/12/17	11/12/17	Information	Claire White
	Schools Funding Benchmarking Information	21/11/17	28/11/17	04/12/17	11/12/17	Information	Claire White
	DSG Monitoring 2017/18 Month 7			04/12/17	11/12/17	Information	Ian Pearson
<b>Term 3</b>	Dedicated Schools Grant (DSG) Funding Settlement and Budget Overview 2018/19	03/01/18	10/01/18	15/01/18	22/01/18	Discussion	Claire White
	Final Schools Block Budget 2018/19	03/01/18	10/01/18	15/01/18	22/01/18	Decision	Claire White
	High Needs Block Budget Proposals 2018/19	03/01/18	10/01/18	15/01/18	22/01/18	Decision	Jane Seymour & Michelle Sancho
	Early Years Block Budget Proposals 2018/19	03/01/18	10/01/18	15/01/18	22/01/18	Decision	Avril Allenby
	Growth Fund and Falling Rolls Fund 2017/18			15/01/18	22/01/18	Information	Claire White
	DSG Monitoring 2017/18 Month 9			15/01/18	22/01/18	Information	Ian Pearson
<b>Term 4</b>	Work Programme 2018/19	20/02/18	27/02/18	05/03/18	12/03/18	Decision	Jessica Bailiss
	Final DSG Budget 2018/19	20/02/18	27/02/18	05/03/18	12/03/18	Decision	Claire White
	Final High Needs Block Budget 2018/19	20/02/18	27/02/18	05/03/18	12/03/18	Decision	Jane Seymour & Michelle Sancho
	Final Early Years Block Budget 2018/19	20/02/18	27/02/18	05/03/18	12/03/18	Decision	Avril Allenby
	DSG Monitoring 2017/18 Month 10			05/03/18	12/03/18	Information	Ian Pearson

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