



NOTICE OF MEETING

SCHOOLS FORUM

WEDNESDAY, 10 OCTOBER 2018 AT 4.30PM

CONFERENCE ROOM A, SECOND FLOOR, THE CIVIC OFFICES

Telephone enquiries to Jane Di Dino 023 9283 4060

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Membership

Schools Members

Two head teacher representatives - primary phase
One head teacher representative - secondary phase
One head teacher representative - special phase
Four academy representatives - primary proprietor
Five academy representatives - secondary proprietor
One academy representative - special proprietor
One governor - primary phase
One governor - secondary phase

Non School Members

Four Councillors (one from each political groups)
One 16-19 Education Providers representative
One Early Years Providers representative

(NB This agenda should be retained for future reference with the minutes of this meeting).

Please note that the agenda, minutes and non-exempt reports are available to view online on the Portsmouth City Council website: www.portsmouth.gov.uk

A G E N D A

- 1 **Apologies**
- 2 **Declarations of Interest**
- 3 **Membership Changes.**
- 4 **Minutes and matters arising from the previous meeting held on 11 July 2018. (Pages 5 - 8)**

RECOMMENDED that the Schools Forum agree the attached minutes.

5 School Funding Arrangements 2019-20 (Pages 9 - 24)

Purpose.

The purpose of this report is to provide the Schools Forum with an update on the latest developments in respect of the future school funding arrangements for 2018-29 onwards.

RECOMMENDED that the Schools Forum:

Note the Department for Education's proposed changes to school revenue funding arrangements for 2019-20 as set out in this report.

Endorse the proposals for implementing the funding formula arrangements locally as set out in this report; in particular:

- **Schools block will remain intact as set out in paragraph 4.3;**
- **Minimum per pupil funding levels will be implemented at the recommended rates as set out in paragraph 4.6;**
- **To keep those unit values which do not already match the NFF rates under review and amend if necessary, following confirmation of the overall funding allocation as set out in paragraph 4.9;**
- **The criteria for allocating growth funding will reviewed in the spring term as set out in paragraph 5.3;**
- **The disapplication requests as set out in section 6.**

6 Recommendations from the SEND Strategic Review relating to managing the spend within the High Needs Block of the Dedicated Schools Grant (Pages 25 - 56)

Purpose

To inform Schools Forum of the recommendations arising from the SEND Strategic Review relating to managing the spend within the High Needs Block and the actions that have been taken in response to this in order to manage these pressures.

RECOMMENDED that the Schools Forum:

- 1. Notes the recommendations that have been made as a result of the SEND Strategic Review (as set out in Appendix I).**
- 2. Endorses the actions that are being implemented in response to these recommendations (as set out in Section 4).**
- 3. Endorses the proposals to manage the spend within the High Needs Block for 2019-20 (as set out in Section 5).**

7 Dedicated Schools Grant 2018-19 quarter one budget monitoring. (Pages 57 - 64)

Purpose

The purpose of this report is to inform Schools Forum of the projected revenue expenditure of the Dedicated Schools Grant (DSG) for the current financial year 2018-19 as at the end of June 2018.

RECOMMENDED that the Schools Forum note the forecast year-end budget position for the Dedicated Schools Grant as at 30 June 2018, together with the associated explanations contained within this report.

8 Schools Block Funding Formula 2018-19 benchmarking. (Pages 65 - 100)

Purpose.

To inform the Schools Forum of the national picture regarding the 2018-19 funding formula factor values. The DfE report has been annotated to show the Portsmouth funding formula factor values and the National Fair Funding formula factor values for Primary and Secondary schools.

RECOMMENDED that the Schools Forum note the contents of the report.

9 Any other business.

Future Meetings.

28 November

16 January

Members of the public are now permitted to use both audio visual recording devices and social media during this meeting, on the understanding that it neither disrupts the meeting or records those stating explicitly that they do not wish to be recorded. Guidance on the use of devices at meetings open to the public is available on the Council's website and posters on the wall of the meeting's venue.

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Agenda Item 4

SCHOOLS FORUM

MINUTES OF THE MEETING of the Schools Forum held on Wednesday, 11 July 2018 at 4.30pm at the Civic Offices, Portsmouth

Present

Jackie Collins	Head Teacher	Primary Phase
Dave Jones	Head Teacher	Primary Phase
David Jeapes	Head Teacher	Secondary Phase
Ian Hunkin	Head Teacher	Special Phase
Alison Beane	Academy	Primary
Karen Stocks	Academy	Primary
Nys Hardingham	Academy	Secondary
Steve Labeledz	Academy	Secondary
Stewart Vaughan	Academy	Secondary
Lynne Stagg	Councillor	Liberal Democrats
Judith Smyth	Councillor	Labour
Claire Udy	Councillor	Independent
Kara Jewell	Representative	Early Years

25. Apologies

Apologies were received from Jason Crouch and Mike Gaston.

26. Declarations of Interest

No interests were declared.

27. Membership Changes.

Beverley Pennekett, Finance Manager gave an update on membership:

- David Jeapes was re-elected as a secondary maintained school Head Teacher representative.
- Ian Hunkin's tenure as a special school representative expires in October.
- Fiona Calderbank will join the forum at the next meeting as a secondary academy representative.
- Councillor Judith Smyth is the Labour Party's representative.
- Councillor Lynne Stagg is the Liberal Democrat Party's representative.
- Councillor Claire Udy is an Independent council representative.

There is a vacancy for a Conservative Party representative and two for secondary academy representatives.

The link to the Schools Forum constitution and the introduction packs will be sent to new members for the October meeting.

28. Minutes and Matters Arising From the Previous Meeting Held on 23 May 2018.

DECISION

The minutes of the meeting held on 23 May 2018 were confirmed and signed as a correct record.

Matters Arising.

Page 4

Information on tracking schools' balances is covered later in the agenda.

29. 2017-18 Dedicated Schools Grant Outturn Report and Revised Budget 2018 -19

Alison Egerton, Group Accountant introduced the report and in response to questions from the forum, the following points were clarified:

Alison Egerton explained that the numbers and costs related to mainstream Education, Health and Care Plan places are in report.

Julia Katherine, Head of Inclusion explained that the High Needs Funding Task and Finish Group had conducted an in-depth discussion about the different options available to manage the increasing pressures in the High Needs Budget and would report to the forum in October.

Alison Beane asked that the wording in sections 4.7 and 4.19 be changed to remove any inference of fault for the late receipt of the class lists.

Action

It was agreed that some alternative wording would be added.

Post Meeting Note: here is the amended wording:

DSG Devolved - Individual School Budgets

4.7 The Special School ISB overspend relates to additional pupils placed at Mary Rose from November 2017 to the end of the financial year. The original budget allowed for an additional eight pupils in the summer term decreasing to six pupils from September 2017. The actual number of pupils during the autumn and spring terms was ten, leading to an increase in place funding of £16,700. Unfortunately the timing of the receipt of the agreed class-lists to the finance team meant that this increased cost was not identified and included in the quarter 3 monitoring.

Special Schools

4.19 In the budget monitoring report for the third quarter, the authority highlighted that they were unable to provide a robust forecast on the Element 3 Top-up rates at Special Schools, Inclusion Centres and Alternative Provision units as several of the class lists for the period up to the end of October 2017 had not been received and/or approved by the School and the SEND Team by the end of December 2017. Therefore the forecast was based on a mixture of October class lists and budgeted costs. At year-end the authority had received all the approved class lists, with the exception of one special school.

Alison Beane explained that there is very small provision at the Mary Rose School and currently four pupils attend. This safety net is essential as attendance could fluctuate very quickly.

Mike Stoneman Deputy Director of Children, Families and Education added that the building is not in great shape and an alternative location for the school might be required.

DECISIONS

The Schools Forum:

- **Noted the year-end outturn budget position for the Dedicated Schools Grant as at the end of March 2018 and the variance explanations contained within this report.**
- **Endorsed the revised DSG budget for 2018-19 as set out in appendix 1 of the report.**
(Unanimously agreed).

30. Maintained School Balances as at 31 March 2018.

Alison Egerton introduced the report.

The Chair thanked the team for setting up the meetings with Head Teachers to discuss the schools' plans to identify where additional support is required.

The forum was pleased that the report contained detailed reasons for the schools' balances. However, it was noted that it is important that schools save some money as the level of future funding was uncertain.

Alison Egerton assured the forum that the finance team would continue to meet schools to discuss their balances and provide advice and support as required.

In response to questions, Beverley Pennekett explained that the changes in special school funding in 2013-14 had been very complicated and the Harbour School's financial problems might not have been as visible. The forum used to have the ability to claw back from schools that held surplus balances in the past. However, this mechanism was disbanded because there were no such restrictions on academies.

DECISION

The School Forum noted the level of maintained schools' revenue balances and capital balances as at 31 March 2018 as shown in appendices 2 & 3 and the monitoring action taken by the council.

31. Future School Funding Arrangements 2019-20.

Beverley Pennekett introduced the report and in response to a question added that the finance team would engage with the Early Years providers shortly to explore the options available.

During the discussion, the following points were clarified:

- The Forum had written to the government in the past when it feels strongly about an issue.
- Its role is to assist schools in getting to where they need to be and to lessen the shock of any changes in funding. Some schools benefitted from the change to the National Funding Formula.
- The forum is most concerned about the High Needs sector.
- Most reception pupils are admitted to schools in September and are included in the October census. Additional pupils reported in the January census is due to movement between schools rather than a new cohort entering the city.

DECISIONS

The Schools Forum:

- a. Noted the progress being made towards the 2019 to 2020 local funding formula including the issue of the consultation to mainstream schools as set out in Appendix A.**
- b. Noted the outcomes of the consultation issued to mainstream primary schools and agreed the proposals set out in section 6. (*Agreed unanimously*).**
- c. Noted that the Department for Education (DfE) is reviewing the methods of funding the local authority for Growth and the High Needs Block and a further update will be provided following the publication of information from the DfE.**
- d. Noted the progress being made towards the strategic review of the High Needs budgets in light of the 2018-19 pressures.**
- e. Noted the progress being made towards the review of early years funding for 2019-20 as set out in section 8.**

The meeting concluded at 5:30pm.

David Jeapes
Chair

Agenda Item 5



Portsmouth
CITY COUNCIL

Report to: Schools Forum

Subject: School Funding Arrangements 2019-20

Date of meeting: 10 October 2018

Report by: Alison Jeffery, Director of Children, Families and Education

Wards affected: All

Key decision: No

Full Council decision: No

1. Purpose of report

- 1.1 The purpose of this report is to provide Schools Forum with an update on the latest developments in respect of the future school revenue funding arrangements for 2018-19 onwards

2. Recommendation

- 2.1 It is recommended that Schools Forum:
- 2.1.1 Note the Department for Education's proposed changes to school revenue funding arrangements for 2019-20 as set out in this report.
- 2.1.2 Endorse the proposals for implementing the funding formula arrangements locally as set out in this report; in particular:
- Schools block will remain intact as set out in paragraph 4.3;
 - Minimum per pupil funding levels will be implemented at the recommended rates as set out in paragraph 4.6;
 - To keep those unit values which do not already match the NFF rates under review and amend if necessary, following confirmation of the overall funding allocation as set out in paragraph 4.9;
 - The criteria for allocating growth funding will reviewed in the spring term as set out in paragraph 5.3;
 - The disapplication requests as set out in section 6.

3. Background

- 3.1 In September 2017, the Department for Education (DfE) published the details of the arrangements regarding the transition to the full National Funding Formula (NFF) which at that time was due to be implemented from 2020-21

- 3.2 The published transition arrangements at that time provided local authorities with some limited flexibility to continue to determine a local formula for funding schools for the financial years 2018-19 and 2019-20.
- 3.3 In December 2017, the Cabinet Member approved, and Schools Forum endorsed, the proposal to smooth the transition to the National Funding Formula for both primary and secondary schools, by spreading the impact of the movement towards NFF over the 2018-19 and 2019-20 financial years. Following the receipt of the authority's 2018-19 funding allocation in late December, further decisions were made to advance all secondary schools to the NFF for 2018-19, as this provided them all with additional funding. The transitional approach was maintained for primary schools to provide protection for those schools which would otherwise suffer larger reductions as a result of immediate adoption of the NFF.
- 3.4 The local authority carried out an initial consultation with schools during May 2018 in preparation for the 2019-20 financial year. This allowed for schools' views to inform any work carried out over the summer period following the release of the DfE guidance. The consultation results, together with initial proposals for the 2019-20 local funding formula, were presented in July 2018. The Cabinet Member approved, and Schools Forum endorsed, three key principles:
- To maintain the transitional approach for primary schools
 - To remove the reception uplift factor from the local formula
 - To maintain the minimum funding guarantee at minus 1.5%
- 3.5 The DfE published its policy document on 24th July 2018, together with the operational guide for 2019-20. This report is intended to provide Schools Forum with an overview of the main changes highlighted in the operational guide and of the progress being made towards agreeing the Schools Funding arrangements locally for the financial year 2019-20.

4. Dedicated School Grant (DGS) Funding

- 4.1 The DfE policy document, together with the operational guide for 2019-20, has provided updated information on the direction of travel towards the NFF. The documents deal mostly with mainstream funding and further information in respect of High Needs is expected to be published in September 2018. The DfE has now advised that authorities will continue to determine schools' funding formulae locally in both the 2019-20 and the 2020-21 financial years.
- 4.2 Indicative funding allocations for 2019-20 have been provided, although it must be noted that these are based on the 2017 census data, so are subject to change. Portsmouth's estimated allocations (inclusive of academies' funding) for 2019-20, together with current estimates for 2018-19 are shown in the table below:

	2018/19	2019/20	Change	Change
Schools Block	£112.78m	£114.15m	£1.37m	1.22%
HN Block	£19.50m	£20.47m	£0.97m	4.98%
EY Block	£14.13m	TBC	-	-
CSSB	£0.80m	£0.82m	£0.2m	2.14%

- 4.3 Local authorities may again request that up to 0.5% of the schools block funding be transferred to the high needs block to support pressures. As in 2018-19, it is not proposed to request such a transfer, since an injection of one-off funding will not solve the underlying resourcing issues in a sustainable way.
- 4.4 The DfE has advised that the schools block has been calculated to allow for a 1% per pupil increase, measured against 2017-18 (not 2018-19) baselines. It should be clarified that this is a measure for calculating the schools block as a whole; it is not expected that every school will necessarily receive such an increase, particularly where funding is already provided at NFF rates or where the school is on a downward trajectory towards NFF rates.
- 4.5 The minimum funding guarantee (MFG) may again be set at a level of between minus 1.5% and plus 0.5%. The decision was made at the July meeting to retain the MFG at minus 1.5%
- 4.6 The DfE has again proposed minimum per pupil funding levels (MFLs) for 2019-20, which are shown in the table below. Local authorities are not required to implement these levels, and whilst most authorities set the primary MFL at or above the recommended rate in 2018-19, the majority of authorities did not set a secondary MFL. Portsmouth implemented both the primary and secondary MFLs at the recommended levels and it is proposed that we continue to do so for 2019-20.

Phase	MFL 2018-19	MFL 2019-20	Change
Primary	£3,300	£3,500	£200
Secondary	£4,600	£4,800	£200
All-through	-	£4,042 ¹	-
KS4 only schools	-	£5,100	-

- 4.7 In 2018-19, five primary schools and one secondary school were funded at below the 2019-20 recommended MFLs and may potentially receive additional funding in 2019-20 as a result of implementing these levels.

¹ It should be noted that this value is based on all year groups being present in an all-through school.

- 4.8 Published NFF unit values for 2019-20 are the same as 2018-19 rates, with one exception; the unit value for primary low prior attainment (LPA) has been reduced from £1,050 to £1,022. This is because the measured LPA cohort in primary schools has been increasing over the past six years, due to changes made to the Early Years Foundation Stage Profile in 2013. DfE advise that the increase is due to a change in the assessment rather than the underlying level of need and they are maintaining the total proportion of spend for LPA overall. This information was not available at the time we consulted with schools; however it may be necessary to adjust the unit value downwards to fit the funding envelope once known.
- 4.9 The proposed unit values for the 2019-20 primary funding formula, which were consulted with schools and agreed in principle in July, are shown at appendix 1. It should be noted that some of the unit values which don't already match the NFF rates may need to be adjusted following announcement of the final funding allocation in December 2018.
- 4.10 The secondary unit values are shown at appendix 2; no changes are proposed to these, since they already match the NFF unit values

5. Growth Funding

- 5.1 The DfE is reviewing the way in which it funds growth at local authority level. Growth funding is intended to help authorities to support schools with significant in-year pupil growth, which is not recognised by the usual lagged-funding system. Up until now, growth funding has been allocated to local authorities based on their individual levels of spend in the previous year.
- 5.2 The DfE has advised that growth funding for 2019-20 will be calculated as follows:
- £1,370 for each primary "growth" pupil
 - £2,050 for each secondary "growth" pupil
 - £65,000 for each brand new school that opened in the previous year.

It is not expected that local authorities will have to allocate funding on this basis.

- 5.3 Indicative allocations for 2019-20 have not been published, so at this stage it is difficult to estimate how much funding will be received. At this stage in the year, we would usually consult on the criteria for allocating growth funding for next year; however, given the potential impact on our funding, it is proposed to retain the current growth criteria, which are attached at appendix 3, for the time being and consult on any new proposals in the spring term 2019, once our funding allocation is known.

6. Disapplication requests

- 6.1 Each year, local authorities can submit disapplication requests to the ESFA, where strict adherence to the legislation as set out in the School and Early Years Finance (England) regulations (as amended each year), would generate perverse results for specific schools. The authority submitted two disapplication requests in September 2018 in respect of the operation of the minimum funding guarantee (MFG), as set out in the following paragraphs.
- 6.1.2 **Charter Academy:** Charter has historically enjoyed a high level of MFG protection, which dates back many years and was caused by a sudden and significant drop in pupils. The local formula at that time, in common with most other local formulae, provided "real term protection", which ensured that a school would receive at least 95% of the previous year's funding in cash terms. This funding was subsequently locked in by the MFG, which provides protection on a per pupil basis. As the pupil numbers at Charter have increased, so the MFG protection has grown.

Capital investment for Charter is needed to increase the capacity of the school to meet basic need; however the local authority could not sanction the capital investment if the increase in capacity would also increase the level of MFG support. The local authority has agreed a compromise with Charter, whereby only 600 pupils (current capacity) would continue to receive MFG protection and any new pupils above that level will receive appropriate pupil-led funding for that school, i.e. basic entitlement, deprivation, prior attainment funding etc. Official approval to this agreement has now been sought from the DfE.

- 6.1.3 **Mayfield School:** Mayfield is continuing to open new primary year groups as it moves towards becoming an all-through school. The MFG, in its pure form, uses the average per pupil funding from the previous year as a baseline to calculate any protection due. Whilst the school is growing, the per-pupil average is skewed towards the existing secondary provision, which means that any additional primary age pupils would be artificially protected at the "whole school" rate. We have therefore requested that the MFG is amended to ensure that the school is funded appropriately for the age profile of its pupils.

7. Early Years

- 7.1 The Early Years team is currently engaging with nursery providers to review the rates allocated to each element of the Early years funding formula. There is limited scope to amend the formula, since there are no indications that government funding is likely to increase, however, it may be possible to amend the way in funding is distributed in order to maximise distribution to providers. An update on progress together with any recommendations will be brought to a future meeting.

8. Reason for recommendations

- 8.1 This purpose of this report is to provide an update on the latest developments in respect of the future school revenue funding arrangements for 2018-19 onwards. The report also seeks endorsement to the proposals for implementing these arrangements locally, in order to ensure that they comply with the requirements of both the DfE's operational guidance and the School and Early Years Finance (England) Regulations.

9. Equality impact assessment (EIA)

- 9.1 The report does not require an Equality Impact Assessment as the recommendations do not have any impact upon a particular equalities group

10. Legal Implications

- 10.1 The Government is reforming the current school funding system from 2018-2019 and the details of that planned reform are set out in the body of this report.
- 10.2 There are no legal implications arising from the implementation of this report's recommendations

11. Finance Comments

- 11.1 Financial comments and implications are included in the body of this report.

Signed by: Alison Jeffery, Director of Children, Families and Education

Appendices:

- Appendix 1: Proposed primary unit values for 2019-20
- Appendix 2: Proposed secondary unit values for 2019-20
- Appendix 3: Current growth criteria

Background list of documents: Section 100D of the Local Government Act 1972

The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:

Title of document	Location
The national funding formula for schools and high needs 2019 to 2020 (published 24/07/18)	https://www.gov.uk/government/publications/national-funding-formula-for-schools-and-high-needs
Schools revenue funding 2019 to 2020: Operational guide (published 24/07/18)	https://www.gov.uk/government/publications/pr-e-16-schools-funding-guidance-for-2019-to-2020
School and Early Years Finance (England) Regulations 2018	http://www.legislation.gov.uk/ukxi/2018/10/made

The recommendation(s) set out above were approved/ approved as amended/ deferred/ rejected by on

.....
Signed by:

Appendix 1: Proposed primary unit values for 2019-20

	Primary Factor funding rates		
	PCC 2018-19 Rate	NFF 2019-20 Rate	PCC Consultation Proposed 2019/20 Rate
Factor	Primary	Primary	Primary
Reception Uplift	Y	N	N
AWPU (Primary	£2,800	£2,747	£2,782
Free School Meals (FSM)	£151.50	£440	£313
Free School Meals - Ever 6	£388.50	£540	£470
IDACI Band F	£0	£200	£105
IDACI Band E	£140	£240	£190
IDACI Band D	£460	£360	£390
IDACI Band C	£785	£390	£560
IDACI Band B	£1,100	£420	£715
IDACI Band A	£1,415	£575	£950
EAL	£515	£515	£515
Prior Attainment	£1,050	£1,050	£1,050
Lump Sum	£112,500	£110,000	£110,000

Appendix 2: Proposed secondary unit values for 2019-20

Factor	Secondary Factor funding rates		
	PCC 2018-19 Rate	NFF 2019/20Rate	Proposed 2019/20 Rate
	£	£	£
AWPU KS 3	3,863	3,863	3,863
AWPU KS4	4,386	4,386	4,386
Free School Meals (FSM)	440	440	440
Free School Meals - Ever 6	785	785	785
IDACI Band F	290	290	290
IDACI Band E	390	390	390
IDACI Band D	515	515	515
IDACI Band C	560	560	560
IDACI Band B	600	600	600
IDACI Band A	810	810	810
EAL	1,385	1,385	1,385
Prior Attainment	1,550	1,550	1,550
Lump Sum	110,000	110,000	110,000

Appendix 3: Current growth criteria

Centrally held funds to support Primary and Secondary Schools in 2018-19

Exceptional Growth Fund

Applies to: Maintained schools and Academies

Increasing Published Admission Number

Funding additional to the budget share will be allocated to schools that experience a planned increase in the Published Admission Number (PAN). The criteria (see below) to determine whether a school is eligible for funding for growth was agreed at schools forum in November 2017.

Criteria

'Growth funding will be allocated to schools who meet the following criteria:

- *Funding will only be allocated when the growth (either permanently or as a bulge class) meets the basic need requirement of the local authority and the school is increasing both its Published Admission Number (PAN) and its planned intake of pupils in the current financial year (1 April to 31 March).*
- *And - The Head of Sufficiency, Participation and Resources formally approves to increase the capacity of a school.*
- *And - The planned growth in pupil numbers is a multiple of a complete half form entry, where a half form entry is equal to 15 pupils.*

What the growth fund covers

The additional pupils joining a school in September will be included in the October census. The census data is used to calculate the funding for the following financial year; which maintained schools receive from April. Therefore the growth fund finances the "gap" from September to March.

Schools who have converted to academy status are funded through the same local formula as maintained schools but receive their funding on an academic year basis, rather than the financial year basis of maintained schools.

Therefore academies will not receive their funding based on the October census until the following September. The growth fund finances the "gap" from September up to August. The additional 5 months funding for academies is reimbursed by the Education and Skills Funding Agency.



Methodology

The allocation from the growth fund to schools who meet the above criteria will be as follows:

The annual payment for approved growth for a full form entry of 30 pupils will be equal to a lump sum of £54,000.

Where a growth payment has been approved for a maintained or academy school the amount paid will be as follows:

Period September to March - maintained schools and academies

£31,500 - Equating to 7/12ths of the annual amount.

Period April to August - academies only

£22,500 - Equating to 5/12ths of the annual amount.

Funding will be pro-rated for part form or multiples of full form entry, for example:

- The total sum above will be multiplied by 0.5 for a part form entry of 15 pupils
- For an increase of one and a half form entry (45 pupils) the total sum will be multiplied by 1.5

A payment will be made for each year that the school is growing until the earliest of the following:

- The school reaches full capacity attributable to the increase in PAN approved by the Head of Sufficiency, Participation and Resources
- The Growth Fund criteria changes due to affordability
- There is a change in the funding formula as directed from the Education and Skills Funding Agency.

No allocation will be made to a school or academy where the school or academy:

- *Has surplus places and then takes additional children up to the PAN*
- *Admits over PAN at their own choice*
- *Admits extra pupils where those pupils have a reasonable alternative school place*
- *Increases the PAN of one year by reducing the PAN of another (e.g. increasing the PAN in year 7 by reducing the PAN in year 10)*
- *Is directed and/or requested to admit additional pupils as a result of errors, appeals, fair access protocol, SEN, LAC etc. as these numbers will be low on an individual school basis.*

Funding will not be allocated from this fund to a school which has received additional funding in the year, through its budget share as a result of an agreed variation in its pupil numbers.



For example - Primary School*

The maintained/academy school has been requested by the Local Authority to increase the PAN from a one and a half form entry (45 pupils) to a two form entry (60 pupils) from September 2018; this was approved by the Head of Sufficiency, Participation and Resources in October 2017.

Whilst the increase was agreed in 2017-18, the payment will be made in financial year 2018-19 as this is the year that the changes will come into effect.

The Increase in PAN is for half a form entry of 15 pupils therefore the payment will be pro-rated by 0.5.

7/12ths of £54,000 lump sum $(£54,000/12 \times 7) = £31,500$

$£31,500 \times 0.5 = \textbf{£15,750 payment to the school.}$

For an academy school they will receive an additional payment to cover the period April 2019 to August 2019, which would be calculated.

5/12ths of £54,000 lump sum $(£54,000/12 \times 5) = £22,500$

$£22,500 \times 0.5 = \textbf{£11,250 payment to the school.}$

Payment method

Where a maintained or academy school meets the criteria and the growth is known at the point of setting the budget for the financial year, payment will be made within 30 days of the beginning of the financial year which runs 1 April to 31 March

Where growth is identified during the financial year funding will be paid within 30 days of the receipt of the following notification:

- Maintained and Academy schools - PAN increases
Written approval to change the Published Admissions Number (PAN), by the Head of Sufficiency, Participation and Resources
- Maintained and Academy - Bulge classes:
the receipt by the Children's Finance team of the written confirmation from Head of Sufficiency, Participation and Resources that the Bulge class has materialised.

Applies to: Maintained schools and Academies

Increasing Age Range

Where a school is amending its age range, funding may be allocated from the 'Growth Fund' up to a maximum of £280,000, with the specific approval of schools forum, where the following criteria are met:

- The increased school places are required in order to meet basic need within the area and have been agreed with the Local Authority.
- The increased places relate to pre-16 pupils.
- The new school places are not within the schools current phase.
- A business case has been submitted by the school which sets out the expected set-up costs to be incurred.
- Any funding allocated would be to support the following areas of expenditure:
 - additional leadership team capacity
 - additional secretarial support
 - publicity, promotion and advertising of the new school
 - consultancy
 - curriculum costs
 - recruitment costs
 - other revenue costs related to set-up of the new school

If the above criteria are met, the funding would be allocated from the 'growth fund' in full to the school in a single funding period. The funding allocation would be calculated as £445 multiplied by the total number of additional places anticipated to be created in the school as a result of the change in the schools age range up to the maximum permitted.

Where a school is eligible for an allocation from the growth fund based on both the 'Increasing Published Admission Number' and the 'increased age range' criteria, then the school will only be eligible for an allocation from one of these mechanisms within the financial year.

School Specific Contingency

Applies to: Maintained Primary and Secondary Schools only

Purpose of the fund

The School and Early Years Finance (England) Regulations, permit the creation of a 'schools specific contingency' via the de-delegation of funding through the schools revenue funding formula. The contingency fund supports only Primary and Secondary maintained schools.

The purpose of the fund is to support maintained Primary and Secondary schools that have incurred expenditure, which it would be unreasonable to expect them to meet from the schools' budget share. This may include:

- schools in financial difficulty
- new, amalgamating or closing schools
- the writing-off of deficits of schools which are discontinued, excluding any associated costs or overheads
- other expenditure where the circumstances were unforeseen when initially determining the schools budget share.

Section 4 of the Scheme for Financing Schools continues to apply in respect of schools that are or are likely to be facing a deficit balance.

Criteria for accessing the fund

The fund is only available to maintained Primary and Secondary Schools in Portsmouth

Where as a result of exceptional expenditure or loss of income a school is experiencing financial difficulty, or has incurred other expenditure which it would be unreasonable to expect the school to meet from its budget share, then financial support will be considered for eligible schools where the following criteria are met:

- The costs or loss of income **must** have had a disproportionate effect on the schools budget.
- The costs or loss of income:
 - arose as a consequence of decisions by bodies outside of the control of the school or its governing body;
 - are exceptional in nature;
 - could not have been foreseen by the school or governing body.
 - The governing body has taken steps to mitigate the impact, where possible.
- Additional costs for new, amalgamating or closing schools.

Criteria for new maintained schools:

Funding of costs in respect of the initial set-up of new maintained schools will be considered where a business case has been submitted by the school which sets out the expected costs to be incurred; and the following conditions are met:

- The increased school places are required in order to meet basic need within the area and have been agreed with the Local Authority.
- The increased places relate to pre-16 pupils.
- Any funding allocated would be to support the following areas of expenditure:
 - Initial leadership team capacity
 - Initial secretarial support
 - publicity, promotion and advertising of the new school
 - consultancy
 - curriculum costs
 - recruitment costs
 - other revenue costs related to set-up of the new school

One-off funding will be allocated based on the business case submitted, up to a maximum funding allocation of £445 multiplied by the total number of additional places anticipated to be created in the school.

Criteria for amalgamating schools:

Where two or more schools amalgamate, an amount equivalent to the closing balances of the previously maintained schools will be allocated to the new school.

Criteria for closing schools:

In the case of closing maintained schools, which are not amalgamating or converting to academy status under the Academies Act 2010, the contingency may fund additional costs where the school has insufficient balances and the costs are eligible to be funded from the Dedicated Schools Grant.

Where a maintained school is discontinued, any remaining deficits balances may be charged against the contingency. Where it is necessary to use the contingency for this purpose it will be reported to the Schools Forum at the next scheduled meeting.

Decision Making Process

Where a school believes that their circumstances warrant support from the 'schools contingency fund', then the governing body should submit a request to the Finance Manager for Education and Children's Services.

The submission will be reviewed by the Deputy Director of Children's Services for Education and the Finance Manager for Education and Children's Services. The level of the schools revenue and capital balances will also be considered as part of the review of any submission.

Any application which the Deputy Director of Children's Services for Education and the Finance Manager for Education and Children's Services assess as meeting the above criteria, will be presented to the Schools Forum at the October and February meetings to make the final decision as to whether to provide financial support from the fund.



Decision maker:	Schools Forum
Subject:	Recommendations from the SEND Strategic Review relating to managing the spend within the High Needs Block of the Dedicated Schools Grant
Date of decision:	10 th October 2018
Report from:	Alison Jeffery - Director Children, Families and Education
Report by:	Julia Katherine - Head of Inclusion
Wards affected:	All
Key decision:	No
Budget & policy framework decision:	No

1. Purpose of report

- 1.1. To inform Schools Forum of the recommendations arising from the SEND Strategic Review relating to managing the spend within the High Needs Block and the actions that have been taken in response to this in order to manage these pressures.

2. Recommendations

- 2.1. It is recommended that Schools Forum:
 - 2.1.1 **Notes the recommendations that have been made as a result of the SEND Strategic Review (as set out in Appendix I).**
 - 2.1.2 **Endorses the actions that are being implemented in response to these recommendations (as set out in Section 4).**
 - 2.1.3 **Endorses the proposals to manage the spend within the High Needs Block for 2019-20 (as set out in Section 5).**

3 Background

- 3.1 The High Needs Block within the Dedicated Schools Grant is made up of the following:
 - Special School place plus funding

- Alternative Provision (commissioned by the local authority) place plus funding,
- Inclusion Centre (additionally resourced provision commissioned from mainstream schools) place plus funding
- Element 3 funding for children with EHCPs in mainstream schools
- Funding for post-16 learners with high needs
- Medical block (medical tuition) funding
- Funding for out of city placements (including tier 4 CAMHs placements)
- Centrally funded services including the Sensory Impairment Team, Portage and Outreach.

3.2 This budget has been under increasing pressure over the past few years. Previous reports to Schools Forum have set out the growing pressures on the High Needs Block and the reasons for these (see report to Schools Forum dated 21st November 2017).

3.3 The High Needs Block funding that has been allocated from central government up to 2017 has been cash flat. The flexibility between the blocks within the DSG has enabled us to make up the shortfall by taking money from the schools block. This flexibility was significantly reduced for 2018/19 to only 0.5% and again for 2019/20 and is unlikely to be available in future years.

3.4 In 2016-17 a projected overspend of £219,139 in the High Needs Block was offset by 2015/16 DSG carry forward. Costs were contained within the budget provision in 2017/18, however, expected increased pressures resulted in an inability to balance the DSG budget for 2018-19, resulting in a projected requirement in the region of £400,000 to be set against the DSG balance brought forward.

4 SEND Strategic Review recommendations

4.1 A SEND Strategic Review was jointly commissioned by Portsmouth and Southampton City Councils in June 2017, the review was grant funded from central government with the purpose of reviewing the provision for children and young people aged 0-25 with special educational needs and disabilities and make recommendations that would enable the increasing demand to be met within existing resources.

4.2 The review involved research and enquiry of the evidence base to inform practice; benchmarking against statistical neighbours and national databases; information gathering and data analysis; visits to a range of provisions across the city and meetings with stakeholders across education, social care, health and the voluntary sector, parents and children / young people.

4.3 The review focused on six priorities that were identified by both councils:

- High cost out of city placements
- Availability of post-16 provision
- Meeting the needs of the growing number of children and young people with autism

- Meeting the needs of the growing number of children and young people with severe learning difficulties and complex needs which is putting pressure on special school places
 - The use of inclusion centres
 - The identification of SEND and thresholds for requesting an Education, Health and Care (EHC) need assessment
- 4.4 As a key principle and aim of the Portsmouth SEND Strategy inclusion and inclusive practice was also explored due to its importance as part of a graduated response to meeting the needs of children with SEND.
- 4.5 The review was published at the beginning of June 2018 and made 49 recommendations on how to meet the increasing need and future demands in a way that will be financially sustainable.
- 4.6 The final report has been presented to the SEND Board and incorporated into the 9 ambitions of the refreshed SEND 0-25 Joint Commissioning Strategy. The Implementation Plan arising from the review, including all 49 recommendations, can be found in Appendix I.
- 4.7 Key actions arising from the SEND Strategic Review recommendations, for consideration and endorsement by Schools Forum include the following:
- 4.7.1 **SEND Place Planning Strategy** to be developed and published alongside the Primary and Secondary Place Planning Strategies, using the methodology for predicting need and demand for specialist school placements that was used within the SEND Strategic Review (from recommendations 10.2.3, 11.1 and 10.3.3). This will have implications for both capital and revenue funding.
 - 4.7.2 **Review the admissions criteria for special schools and Inclusion Centres** to ensure a continuum of provision to meet the needs of children whose SEN cannot be met from within what is Ordinarily Available within mainstream schools (from recommendations 10.2.5, 10.4.4 and 10.5.2).
 - 4.7.3 **All children and young people placed out of the city are reviewed at least annually** to determine whether and how the needs could be met within the city. Where there is a concern from any agency that a child or young person is at risk of not having their needs met within the city, cases are discussed at the earliest opportunity to determine how agencies can work together proactively to ensure needs are met locally wherever possible (from recommendations 10.1.1, 10.1.2 and 10.1.3). This is being taken forward by establishment of a process for proactive discussion of Fragile Cases to avoid care and/or educational placement breakdown.
 - 4.7.4 **Inclusive practice to be encouraged and celebrated** (e.g. through development of an Inclusion Quality Mark and endorsement of the Ordinarily Available Provision document). Ways of incentivising inclusion to be explored (from recommendations 10.7.2, 10.7.4, 10.7.7

and 10.7.3). This work is being taken forward by the Inclusion Group which reports to both the SEND Board and the Portsmouth Education Partnership Board.

- 4.7.5 **The current Outreach provision to be reviewed**, with new outreach arrangements in place for September 2019. This could be linked to the development of a peripatetic team and possibly target SEMH and ASC with a focus on supporting secondary schools in particular (from recommendations 10.1.7 and 10.7.8). Currently a total of £186,900 is spent on outreach provision; £154,800 through the Portsmouth Special Educational Needs Support Partnership (PSENSP) and £32,000 through the Harbour School Service Level Agreement to provide outreach to early years pupils (please also see the proposal in Paragraph 5.4.5).
- 4.7.6 **Additional provision will be required for children with complex needs**, which may include additional capacity at special schools, inclusion centres and/or mainstream schools. Consideration to be given to remodelling SEN nursery provision and to the creation of a primary and secondary inclusion centre for pupils with learning difficulties to reduce pressure on special school places (from recommendations 10.2.4, 10.2.7 and 10.5.7). If approved, this would have implications for capital and revenue funding.
- 4.7.1 **Consideration to be given to how local residential and respite provision** for pupils with severe and complex needs/autism and challenging behaviour can be developed or enhanced to enable pupils to continue to be educated within the city, or return to the city for their post-16 education, wherever possible.

5 Proposals for managing the spend in the High Needs Block in 2019/20

- 5.1 In addition to the recommendations in section 4 that have arisen from the SEND Strategic Review and as a result of the projected overspend on the High Needs Block by the end of 2018/19, a task and finish group was established during the summer term to develop some proposals for managing the spend within the High Needs Block from April 2019.
- 5.2 The purpose of the task and finish group as set out in the terms of reference was to develop proposals for sustainable and affordable high needs funding arrangements which can be put in place from the start of the 2019-20 financial year to ensure that children's special educational needs can be met from within available resources. This will build on the recommendations arising out of the SEND Strategic Review.
- 5.3 The membership of the group included representatives from primary, secondary and special schools, including mainstream schools with an Inclusion Centre, as well as parent/carers representatives and officers from PCC Inclusion Service and Finance. Meetings took place between May and July 2018.

- 5.4. The group considered a range of proposals for reducing the spend within the High Needs Block and as a result of this work have recommended the following:

- 5.4.1 **Introduce banded funding for EHCPs in mainstream schools and Inclusion Centres** - currently the provision specified in EHCPs is costed using standardised rates and the funding provided to schools matches this. Whilst this meets the specificity requirement in the SEN Code of Practice, it can reduce the flexibility of schools to deliver the required support in the most effective way, suited to their context and in line with their professional expertise. A banded funding model would work in the same way as for special schools in that a funding band would be assigned to the EHCP as part of the needs assessment and based on the evidence presented, matched to the banding criteria. Any change in band would only be agreed on the basis of evidence presented as part of the annual review process.

Table 1 below sets out the costs as at June 2018 along with the potential savings relating to the proposed implementation of banding rates for pupils with an EHCP attending a mainstream school.

The rates for each band assume that the first £6,000 of the cost of additional support is met by the school and any funding over and above this would fall into one of the four bands according to the pupil's needs. Again the financial modelling is based on information available at a point in time and any resultant savings will reflect the pupils attending the school and their level of need during the relevant funding period.

Table 1 - Impact of proposed banding on mainstream EHCP costs							
Band	Criteria	No of pupils impacted	Current annual cost	Average cost per pupil	Proposed funding per pupil per annum	Expected cost	Potential saving
		FTE	£	£	£	£	£
1	funding <£2000 per annum	78.63	68,638	873	750	58,969	(9,669)
2	Funding between £2,000 and £4,000	104.02	309,526	2,976	2,000	208,042	(101,484)
3	Funding between £4,000 and £6,000	116.70	536,655	4,599	3,500	408,438	(128,217)
4	Over £6,000	64.39	460,194	7,147	7,600	450,732	29,173
Total		363.73	1,375,013	3,780		1,126,181	(210,198)

The impact on individual schools has been analysed and the table below summaries the impact for primary and secondary schools.



	Financial change in ECHP funding		
	Primary no.of schools	Secondary no.of schools	Total no.of schools
>£10,000	0	0	0
£5,001 and £10,000	0	0	0
£0 and £5000	3	1	4
No change	1	0	1
£0 and -£5,000	31	6	37
-£5,000 & -£10,000	12	4	16
<-£10,000	0	0	0
Total	47	11	58
Greatest reduction in funding	(£7,988.88)	(£9,675.28)	
Greatest gain	£1,310.97	£110.00	

Whilst the majority of schools will see a reduction in element 3 funding, 64% (37) will see a reduction of £5,000 or less. No school will see a reduction of greater than £10,000, based on the June 2018 data set.

Schools have been informed of the potential impact on their budgets via the Head Teacher briefing on 19th September and individual meetings with those schools most significantly impacted.

Inclusion Centres

Element 3 top-up funding rates are currently based on historic costs as per the funding received by those schools with Inclusion centres prior to April 2013. This meant that each school had different top-up rates ranging from £0 to £8,476. Whilst this maintained stability of funding for individual schools, it has meant that there is no equity between schools who may be supporting pupils with similar levels of need, but could be receiving differing levels of element 3 top-up.

The proposals look to achieve parity across Inclusion Centres by allocating funding related to the child's level of need, whilst reducing the pressures on the High Needs Block.

Table 2 below sets out the impact of the proposed changes to Inclusion Centre Element 3 Top-up to a banded approach based on the level of need.

Table 2 - Impact of proposed banding on Inclusion Centre costs						
Band	Criteria	No of pupils impacted	Current cost	Proposed funding per pupil per annum	Expected cost	Potential saving
		FTE	£	£	£	£
1	Funding<£2000 per annum	16	0	750	12,000	12,000
2	Funding between	48	99,208	2,000	96,000	(3,208)



	£2000 and £4000					
3	Funding between £4000 and £6000	18	101,712	3,500	63,000	(38,712)
4	Over £6000	2	16,953	7,600	15,200	(1,753)
Total		84	217,872		185,000	(31,673)

The implications of the above proposals have been reviewed on a school by school basis and the impact has been shared and discussed with those schools who have inclusion centres.

5.4.2 Implement a 1% reduction in special school banded funding rates - the maximum that current banded funding rates can be reduced is by 1.5% according to the Minimum Funding Guarantee. Implementing this proposal would result in a saving of approximately £54,700, however this will be dependent on the numbers and level of need of the pupil attracting Element 3 top-up funding. Table 3 below sets out the implications for each school.

Table 3			
School	Estimated Element 3 top-up funding 2018-19	Estimated 1% reduction in band rate	Estimated Element 3 Top-up funding 2019-20
	£	£	£
Willows	562,796	(5,628)	557,168
Mary Rose	1,660,361	(16,604)	1,643,757
Cliffdale	910,447	(9,104)	901,343
Redwood	863,082	(8,631)	854,452
Harbour	1,473,149	(14,731)	1,458,418
Total	5,469,835	(54,698)	5,415,138

Financial modelling was undertaken based on the 2018-19 Special School funding schedule (circulated to special schools in March 2018) and includes the changes approved by Cabinet Member and Schools Forum in July 2018 to the Highly Exceptional Band at Mary Rose and the element 3 top-up for the additional places agreed¹ at Mary Rose and Cliffdale.

The 2019-20 special school element 3 top-up budget will be set in January 2019 and will be based on the October 2018 class lists. As element 3 top-up funding follows the child, the actual amount of element 3 funding paid to specials schools will vary according to the

¹ Agreed by Cabinet Member for Education and endorsed by Schools Forum at the January 2018 meetings.

children attending the school during the relevant funding period and their level of need therefore the actual savings achieved in 2019-20 could vary.

- 5.4.3 **Introduce Transition Plans** without additional funding attached as a way of improving transition arrangements and reducing the significant increase in requests for EHC needs assessment that are made in Years 2 and 6, linked to concerns about the child's needs being met in the receiving school. This more robust transition planning process would ensure that information is shared and support put in place, without the need for an EHCP. This would increase parental confidence in the transition process and would also provide the evidence base for an EHC needs assessment request, as part of a Plan Do Review cycle, should it be needed in the new setting.

If this proposal has the desired effect of reducing requests for EHC Needs assessments by one third, it could reduce the spend from the High Needs Block by between £43,600 and £58,100, based on an average payment of between £3,000 and £4,000

- 5.4.4 **Reduce the number of primary Inclusion Centre Places** - longer term there will be a need to increase specialist school places for children with complex needs, however this is currently unaffordable. In addition, there is an uneven distribution of Inclusion Centre places across the age range, resulting in some children who are placed in an Inclusion Centre in the Infant phase needing to transition to a mainstream placement for the Junior phase of their education. It is proposed that the number of Inclusion Centre places in the Infant phase is reduced which will achieve a saving in the short term. In the longer term, it is envisaged that more Inclusion Centre places for children in the junior and secondary phases will be needed so that some children, whose needs cannot be met within what is ordinarily available in mainstream schools, can receive support within an Inclusion Centre throughout their education, as an alternative to placement in a special school..

The potential savings from a reduction in Inclusion centre places will impact on both the costs per place (£6,000) and any associated Element 3 top-up funding. As it has not been agreed which Inclusion Centres will see the reduction in places, the financial modelling of the element 3 top-up has been based on the new average cost as per the proposed introduction of the banded methodology of top-up payments. This also removes the potential double counting of savings. Table 4 below sets out the potential savings.

Table 4				
	No. of Places	Place funding^[1]	Element 3 top-up funding	Total funding
		£	£	£

^[1] Including academies.



Current position 2018-19	84	552,800	217,872	770,672
Proposal (5.4.1) 2019-20	84	552,800	185,000	737,800
Reduction of places 2019-20	78	516,800	171,785 ^[2]	688,585
Potential savings	(6)	(36,000)	(13,150)	(49,215)

It should be noted that the above element 3 top-up savings are based on an average cost, depending on the needs of the pupils currently occupying these places the actual saving could be between £4,500 (6 pupils x £750) or £45,600 (6 pupils x £7,600). These savings may also not materialise as the pupils currently occupying the places may move to another inclusion centre, special school or stay within the mainstream school and receive top-up funding via the mainstream EHCP element 3 top-up. Due to the uncertainty around the impact on the proposed change on the Element 3 top-up, only the saving achievable via the place funding has been included in the summary table 5.

5.4.5 **Reduce the spending on outreach** when it is recommissioned for September 2019 by approximately 10%, as outlined in Paragraph 4.7.5. This would reduce the spend from a total of £186,900 to £168,200.

5.4.6 **Reduce recharges to Education cash limit budgets.** To ensure an equitable approach to the savings across all recipients of high needs funding it is proposed to reduce the DSG recharge to the Education budget by 1.5% or £10,000. This will require savings within the Education department.

5.4.7 The spend within the High Needs Block remains highly volatile as it is linked to pupil need and demand. High needs spend will therefore continue to be carefully monitored and consideration will be given to any potential further areas where spending can be reduced. Areas to be considered will include post-16 element 3 top up funding, where we could look to introduce a banded funding model from September 2019 and developing post-16 SEND provision to meet the needs of those currently out of city and enable them to return home for their post-16 education.

5.5 In total it is predicted that this would reduce the spend in the High Needs Block by £404,900 during the 2019/20 financial year. This assumes that all the proposed changes are implemented from 1 April 2019. Should the changes be implemented at a later date then the savings will be delayed.

Table 4	
Proposal	Potential saving 2019-20
	£

^[2] Based on an average cost of £2,202.38 per pupil.



Introduce Banded funding for EHCP in Mainstream schools	210,200
Introduce banded funding for Inclusion Centres	31,700
Reduce Special School top-up by minus 1%	54,700
Introduce Transition plans	43,600
Reduce the number of Inclusion Centre places by 6	36,000
Reduction in central recharges	10,000
Outreach saving	18,700
Total potential saving	404,900

The above proposals will cover the budgeted shortfall as seen during the 2018-19 financial year, however as per the quarter 1 budget monitoring there are on-going pressures within the High Needs Block of approximately £547,000². Indicative funding for 2019-20 is suggesting that the authority will see an increase in high needs funding of £0.97m, however this is not guaranteed at this stage. The national funding formula for calculating local authority funding is now subject to in year adjustments which could decrease the authority's funding. The proposed savings and the additional income will put the authority in a stronger position to manage the on-going pressures over 2019-20 and future years.

6 Equality impact assessment

6.1 A preliminary Equalities Impact Assessment has been completed.

7 Legal implications

7.1 The report outlines the appropriate drivers for decision making. The report is compliant with the obligations re duties to children and young persons within the Children and Families Act 2014 (basically that the Act engages the LA to identify children with SEN needs and ensure that their needs are met by the responsible LA through an appropriate EHCP that is delivered).

It is assumed that the Schools Forum has been engaged and given an opportunity to comment if that has not occurred it would be advisable to engage to avoid (albeit remote) challenge.

8 Finance comments

8.1 The finance comments are included within the body of the report

Signed by: Alison Jeffery - Director of Children, Families and Education

² Total high needs £1,415,000 less £868,000 for The Harbour School.

Appendices:**Appendix I: SEND Strategic Review Implementation Plan****Background list of documents: Section 100D of the Local Government Act 1972**

The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:

Title of document	Location
Pressures on the High Needs Block	Schools Forum agenda 21 st November 2017

The recommendation(s) set out above were approved/ approved as amended/ deferred/ rejected by on

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SEND STRATEGIC REVIEW IMPLEMENTATION PLAN June 2018 - August 2019

	Ref	Recommendation	Actions	Lead	Timescale Month end	Rec level	Consultation required	Funding required	Link to T&F Group
PLANNING									
1	8.2	High importance should be attached to leaders from the SEND, Information and Finance Teams, Portsmouth CCG, Health Providers and Social Care meeting annually to share and collate data to ensure that the city has an accurate picture of all the children with SEND, how needs, numbers and costs are changing to support continuous improvement and review, planning and future forecasting. This should link with the Needs Assessment and report into the SEND 0-25 Joint Commissioning Group.	Identify key parties to contribute to annual analysis and planning meeting Identify date within planning cycle to hold meeting. Link with other activities / meetings already planned - Needs Assessment, school placement planning, Joint Commissioning Board Identify data to be shared and discussed and reason why Produce proforma for presenting the information in a way that allows for annual comparisons	JK / CC	Sep-18	1	No	No	Place planning
	10.2.3	SEND needs and placement planning to be included in the annual cycle of school placement planning, supported by an annual refresh of the SEND needs assessment and reported to the Joint Commissioning Group.				1			
2	11.1	PCC to review the methodology and approach to forecasting to make it more robust and accurate notwithstanding the challenges involved in SEND forecasting. Data teams to be proactively involved, working alongside SEND Teams and LA Leaders, using hard data and soft intelligence to forecast, using the same methodology, to allow for year on year direct comparisons of change and continual improvement in accuracy to inform future planning. This should link with the Needs Assessment and report into the SEND 0-25 Joint Commissioning Group.	Agree forecasting methodology including data sources Review predicted forecast against actual data submitted in SEN2 return and publication of January census data Refresh 5 year forecast using updated hard and soft intelligence and forecasting methodology Include annual report of activity, comparison with forecasts and refreshed forecast in Needs Assessment and report to SEND 0-25 Joint Commissioning Group	JK/CC	Sep-18	1	No	No	Place planning
3	10.2.1	The Early Years Panel to be the central point for the collation of all data / intelligence on children 0 - school age with complex health, social care, educational need.	Identify data to be collected, linked to data required in Action 1 above Identify source of data to be collected, process and timescale Monitor late notifications and discuss with data sources to improve future timeliness of notification Inform sources of need to notify EYP, process, timescale	LR	Sep-18	1	No	No	SEND Hub
4	10.2.2	The Early Years Panel to provide quarterly reports on numbers, age, type of need for forecasting purposes, which is shared with the SEND 0-25 Joint Commissioning Group.	Produce reporting proforma to support monitoring of activity and comparison with forecasts Identify timelines for reporting based on dates of SEND 0-25 Joint Commissioning Group Identify process for reporting into annual analysis and planning meeting as per Action 1 above	LR	Sep-18	1	No	No	SEND Hub
5	10.3.3	Strengthen process for sharing information between Education SEND team and Adult Social care teams on young people (14 years) with EHC plans for forecasting purposes and to begin the plan for individual young people transitioning to college with a real or virtual team, with clearly defined responsibilities taking a lead on this work	Transition planning group to be established to oversee the process of transition of young people with an EHCP from Yr9 through to cessation of the EHCP or transfer of responsibility to adult services Role and remit of group to be agreed but to include sharing of information with adult services and multi-agency confirmation of plans in place for transition to Post 16 provision and beyond.	KS	Jul-18	1	No	No	SEND Hub
6	8.1	A review of the process of coding, recording and amending primary need to be undertaken by the SEND and Information Teams with the aim of establishing a robust system to inform future planning and provision.	Identify purpose and use of SEND types of need codes by schools, LA, DfE (link to planning and forecasting recommendations and actions above, national reporting) Identify process pathway for coding and reporting from first identification of SEN through to extraction of data from systems for national reporting (Jan School Census and SEN2 Return) and local reporting for planning and forecasting Clarify current issues with coding - initial coding, recording of primary need, inputting on data base, updating coding on EHCP at Annual Review and on database Establish systematic process for the identification, reporting, recording and updating of primary/secondary need from early years providers, schools, colleges/Post 16/Post 19 providers	PC	Aug-18	1	No	No	Place planning
7	11.2	Guidance and training is developed for all those staff who determine primary need to improve accuracy and consistency. Primary need is reviewed at all annual reviews and any changes updated on the database.	Produce guidance and arrange training for those who initially identify SEN and assign a code to ensure consistency and reliability	PC	Sep-18	1	No	No	Place planning
	Ref	Recommendation	Actions	Lead	Timescale Month end	Rec level	Consultation required	Funding required	Link to T&F Group

ADMISSIONS / PLACEMENT / MONITORING									
8	10.2.6	The process for determining provision is clearly defined and communicated to all professionals involved. Reviewed annually, it is included in the induction of the workforce for SEND so that parents receive coherent information and advice.	Clarify the range of the SEND offer, linked to a notional child's needs. Clarify the process from identification, assessment, planning, intervention to placement, evaluation and review. Identify roles and remit for professionals from all agencies at each stage. Gain the support of all agencies in including training on the process and information on the local offer at induction of all new staff Review the local offer to ensure that the range of provisions is explained Co-review with parents written guidance available to ensure it describes the range of provision available and provides parents with guidance that highlights/sells the benefits of local provisions	JK	Dec-18	1	No	No	SEND Hub
	10.1.6	Over and above the Local Offer and the School SEN Report, clear guidance both written and available in person should be provided to parents to support their decision-making regarding suitable provision for their child. Local provisions to be 'marketed' to highlight to parents the offer and advantages for the child and their family.				1			
9	10.2.5	The criteria for Special School placement is clearly defined	1. Agree on the range of provisions to be offered within the city and the children to be catered for. Identify any gaps and actions to meet these childrens needs. 2. Within the context of the overall range of provisions a) review the admissions criteria to the Special Schools b) provisionally agree the criteria for new free school c) review the criteria for the resourced provisions 3. This work will also need to consider the offer from outreach, health provision especially therapy provision and CAMHS, residential provision, changes to availability of provision in Hampshire	JK	Dec-18	1	Yes	No	SEND Hub
	10.4.4	Criteria for admission to the new special free school for children and young people with autism to be determined and factored into the strategic plans for future provision.				1			
	10.5.2	Clear entry and exit criteria need to be refreshed for the Language Inclusion Centre and Communication and Interaction Centres and applied consistently within the context of the overall provisions within the city. Consideration to be given to applying the same criteria for the Language Inclusion Centres as the Communication and Interaction Centres as the same approaches and strategies are used in these settings for pupils with similar needs.				1			
10	10.1.1	Pupils are identified earlier and clear protocols developed to enable decisions to be made quickly to allow pupils access to a school that can meet their needs. Focus on the identification of risk factors for social, educational breakdown and early intervention at first sign of breakdown to support child, family and school to maintain child in city linked to Early Help Processes, MATs and MASH.	Use the SENCO network and new SENCO induction programme to ensure that all professionals identify and respond to children presenting with additional needs at the earliest sign (no watch and wait). Ensure that staff understand their responsibility to meet needs and how through OAP Provide clear lines of support and advice for children whose needs cannot be met through OAP / SEN Support. Ensure that intervention is evaluated and outcomes achieved Ensure that concerns are escalated ISP, Specialist ISP, Fragile cases meeting ?	SC	Dec-18	2	No	No	SEND Hub
	10.1.2	A process is established for monitoring all children who are at risk of not having their needs met within the city and / or have been excluded from school. Designated SEND Officers are given responsibility for monitoring and tracking pupils to ensure that needs are properly identified and addressed early on, with the outcomes of external support monitored and specialist provision for those most vulnerable to poor outcomes considered as an option at the earliest point rather than as a last resort. Assessments and advice must be commissioned from appropriate services in a timely manner to ensure Panels can draw on high quality information for decision making purposes. Proactive anticipation of need is essential to guard against failed placement.				2			
11	10.5.1	Placements at inclusion centres to be proactively managed with more active movement into and out of the centres to ensure that all provisions are supporting the pupils with the greatest need. All pupils should be reviewed at the end of each key stage to assess on-going suitability of provision. Decisions relating to placement should be made at the specialist inclusion support panels by a range of professionals including the staff in charge of the inclusion centres.	Ensure that EHCPs are outcome focused with the achievement of outcomes evaluated and recorded at annual review. Achievement of outcomes to trigger discussions re placement within the context of the overall range of provisions and the needs of all children The question to be asked is not 'Can you meet need?' but 'Can this child's needs be met within a mainstream enviroment? If not, why not? Can something else be put in place to meet the child's needs?'	KS/JK	Sep-18	2	No	No	SEND Hub
	Ref	Recommendation	Actions	Lead	Timescale Month end	Rec level	Consultation required	Funding required	Link to T&F Group

12	10.1.3	All children and young people in out of city schools are monitored and reviewed on a regular basis to ensure that placements are appropriate, value for money, delivering the interventions as detailed in each child's EHCP and achieving expected outcomes. The statutory guidance on visiting pupils in residential settings needs to be embedded in PCC practice.	Designated SEND offices to visit all children and young people in out of city placements at least every 6 months and attend annual reviews. At each visit SEND Officers to meet and observe the CYP in class, review progress and ensure that the provision cited within the plan is being delivered. Training to be provided to new SEND Officers to support them in this process. EHCPs outcomes to be SMART with evidence of achievement requested at annual review. Consideration to be given as to why the child's needs could not be met within Portsmouth with a view to bringing the child back at the earliest opportunity	JK	Apr-19	2	No	No	SEND Hub
13	10.1.5	Consideration to be given to increasing the capacity of the SEND Team to support the above recommendations	Undertake a workload assessment to determine the staffing required to deliver the recommendations of the SEND Strategic Review and statutory duties.	PC	Sept	3	No	Yes	SEND Hub
OFFER									
		INCLUSION IN MAINSTREAM							
14	10.7.1	A definition of inclusion to be co-produced with parents, children and young people and professionals across the city	Inclusion working group to meet with parents to agree on definition of inclusion Definition to be incorporated into inclusion audit All schools to complete inclusion audit	JK	Sep-18	1	No	No	Inclusion Working Group
15	10.7.2	Inclusive practice to be celebrated and supported with appropriate support and challenge made to settings to ensure a consistent approach and ethos is developed city wide. A kite mark of inclusion to be established based on 'What makes good inclusion' / Inclusion Audit	Inclusion audit to be cross referenced with data on inclusion: - % and number of children in school with an EHCP - % and number of children on SEN Support - SEND spend - attainment of SEND and non-SEND pupils Inclusion success stories to be shared and celebrated through PEP Headteachers and SENCOs of inclusive schools to provide advice and support to other schools via newly commissioned PSENSP	JK	Dec-18	2	No	No	Inclusion Working Group
16	10.7.4	Ordinarily available provision needs to be reviewed and updated regularly with SENCOs to ensure consistency of approach and expectations	Case studies illustrating SEN being addressed through OAP to be presented at SENCO Forum to raise awareness and understanding, share learning and expertise and develop more consistent approach. Effective provision of OAP to be evaluated for every child where a request for an EHC assessment has been made. Consideration to be given to only including in EHCPs provision that is over and above OAP	SC	Sep-18	2	No	No	Inclusion Working Group
17	10.7.5	Portsmouth is a "needs led city" and professionals must focus on a functional assessment to meet needs rather than diagnosis. This needs to be embedded in policy and practice across the SEND 0-25 workforce	Training to be provided to education, health and social care staff on a needs led approach to supporting children and young people with SEND	JK	Jul-19	2	No	No	SEND Hub
18	10.7.6	Schools Therapy Pack to be used as a universal resource to enable all pupils to achieve, augmented by access to consultation with Occupational Therapy, Speech and Language Therapy and Physiotherapy for targeted pupils	All schools to have an INSET day focussed on the Schools Therapy Pack once every 3 years All schools to be reminded that referral to Therapy Services can only be made with evidence of strategies used from Schools Therapy Pack Effective use of Schools Therapy Pack to be evaluated for every child where a request for an EHC assessment has been made	NS	Dec-18	1	No	No	SEND Hub
19	10.7.7	All schools to be encouraged to develop their own provisions to meet the increasing number of pupils in mainstream with SEND	Identify all schools who currently offer in-house provision, the model, costs, advantages/disadvantages Identify those children who could be supported in-house	JK	Apr-19	2	No	Yes	Inclusion Working Group
	10.7.3	Ways of incentivising inclusion to be explored. This could include a 'seed' fund for mainstream schools to provide a financial contribution to schools wishing to develop a more inclusive offer	Develop model of in-school provision, highlighting advantages to pupils and school Identify those needs that would benefit from an in-school provision Develop process for establishing an in-house provision Explore potential for 'seed' fund or set up funding for schools interested in establishing an in-house provision Market to schools the advantages of offering in-house provision			3			
	Ref	Recommendation	Actions	Lead	Timescale Month end	Rec level	Consultation required	Funding required	Link to T&F Group

20	10.7.8	The current Outreach provision should be reviewed with new outreach arrangements in place for September 2019. A clear, transparent, consistent and quality assured offer of Outreach Support should be readily available for mainstream schools, delivered by primary and secondary specialists, designed to support individual pupils and build capacity in schools. This could be linked to the development of peripatetic team (see 10.1.7) and possibly target SEMH and ASC with a focus on increasing up take from secondary schools in particular	Review current outreach specification, feedback from users (including early years, primary, secondary, Post 16, Special School Providers, health providers), current outcomes and costs. Identify gaps or issues Research models of outreach used in other areas In collaboration with stakeholders, develop proposals for a new outreach model of provision to include: - the role and purpose of outreach - process and management of requests - services/professionals to be included e.g. therapies - role of outreach in relation to OAP and resources available e.g. Schools Therapy Pack; cycle of Assess, Plan, Do and Review; EHCPs - expected outcomes, - governance arrangements Explore development of SEND Hub incorporating those services that support 0-25 year olds with SEND across education, health and care	JK	Aug-19	2	Yes?	Yes?	SEND Hub
21	10.1.7	Speech and Language Therapy, Occupational Therapy, and a specialist teacher (ASD) to be funded to support the communication, sensory, and functional needs of pupils with SEMH and ASD. It is suggested that this is developed as a peripatetic team, as part of the wider outreach offer. The specialist teacher could be attached to the Secondary Autism Inclusion Centre.	Review current therapy provision: - identify range of commissioners and providers of therapy services - identify models of provision - identify where therapy provision is meeting needs and gaps in provision - identify core offer - identify potential savings that could be made through an enhanced therapy provision - make recommendations for future provision Portsmouth CCG and Portsmouth CC to agree on funding and management of therapy provision Explore potential for therapies to be incorporated into the establishment of a SEND Hub	JeKe	Apr-19	3	No	Yes	SEND Hub
22	10.6.1	It is recommended that SENCOs, Head Teachers and colleagues in other agencies understand funding mechanisms and the pressures on the High Needs Block and apply the best evidenced based approaches to support children and young people. Supervision (including peer supervision) is also essential to ensure that SENCOs feel confident and competent with local processes relating to the Code of Practice and working with parents. These steps should help to ensure Education, Health and Care assessment requests are made for pupils with severe, long term, complex needs.	PCC to proactively engage with PEP and local leaders to gain support for city wide responsibility for meeting the needs of CYP with SEND. To annually devote a HT briefing to discuss education and HNB funding, spend, activity (EHCPs, SEN Support), attainment. Gain agreement on action plan to manage spend	JK	Apr-19	1	No	No	HN Funding T&F Group
		INCLUSION CENTRES							
23	10.5.3	All Inclusion Centres to offer a graduated provision of withdrawal and integration according to each child's needs. Primary and Secondary Inclusion Centres supporting the same needs must work collaboratively to prepare pupils for effective transitions	Guidance to be developed on the graduated model of provision Schools to include plans for withdrawal / integration at annual review and provide evidence and rationale of levels of withdrawal / integration at annual visits. Levels of integration/withdrawal to be considered annually as part of overall model and rationale of provisions within the city	JK	Aug-19	1	No	No	JCG
24	10.5.5	Inclusion Centres (and mainstream schools) must be able to access CAMHs LD team	Portsmouth CCG to review CAMHS specification to deliver needs led service rather than location based service	JeKe	Apr-19	1	No	Yes	JCG
25	10.5.4	All inclusion centres to have a specialist qualified teacher to support pupils' educational needs within both the classroom and the centre and to contribute to the offer of outreach support to local mainstream schools	Clarify minimum qualifications, skills and experience required for inclusion centre staff Schools hosting inclusion centres to be expected to recruit staff with the minimum requirements Inclusion centre staff to be considered within the new model of outreach	JK	Apr-19	2	No	Yes	JCG
	Ref	Recommendation	Actions	Lead	Timescale Month end	Rec level	Consultation required	Funding required	Link to T&F Group

26	10.5.8	Consideration to be given to the level of therapy provision to pupils in inclusion centres to ensure that all the child's needs are addressed and access to a mainstream environment and curriculum is enabled.	Pending changes to the remit / number of inclusion centres, model of provision, outreach and support including therapy provision to be undertaken	JeKe	Apr-19	3	No	Yes	JCG
27	10.5.6	A network for Inclusion Centres to be developed to encourage the sharing of good practice, support continuing professional development and offer supervision with support from PCC Inclusion Service and the Portsmouth Teaching School Alliance.	PCC Inclusion Service to meet with Inclusion Centre staff to ascertain needs with regard to support, supervision and CPD within context of support systems already available. Explore options for network of support - virtual, twilight sessions etc. Consider type and level of support needed and value of opening up to mainstream and special school staff	SC	Apr-19	2	No	No	JCG
		COMPLEX NEEDS OFFER							
28	10.2.4	Consideration should be given to how best to meet the needs of pre-school children with SEND, options include: - one nursery setting to provide special needs provision across Portsmouth with capacity and expertise to meet all needs - protecting a number of nursery places at Mary Rose Academy for those children with the most profound needs who are clearly going to required ongoing placement there - more pre-school children supported in mainstream settings	Task and Finish Group to be established to consider current and future provision for pre-school children with SEND pending proposals from the SEN Place Planning T&F Group on places required for KS1 pupils with complex needs	JK/CC	Sep-18	3	Yes	Yes	Place planning
29	10.2.7	Additional provision for children with complex needs will be required, which may include additional capacity at special schools, inclusion centres and/or mainstream schools	Establish SEN place planning Task & Finish Group to consider places required to meet future needs	CC	Sep-18	3	Yes?	Yes	Place planning
	10.5.7	Consideration to be given to the development of a primary and secondary inclusion centre for pupils with learning difficulties to reduce pressure on special schools places. This may contribute to solutions about meeting need and demand bearing in mind capital funding pressure).				3			
30	10.2.8	The level of therapy provision for children and young people with SEND to be reviewed to ensure needs are met and children are enabled to access the curriculum.	Review of current level of therapy provision to be undertaken within the context of increasing numbers of children and young people with complex needs and potential changes to admissions criteria / remit of Special Schools and Inclusion Centres an planned reduction in out of city placements> Essential role and functions of therapy provision to be identified within the context of OAP and outreach.	JeKe	Apr-19	3	No	Yes	SEND Hub
		AUTISM OFFER							
31	10.1.8	The review supports the establishment of the Free School for children with autism and challenging behaviour Whilst it is not the intention of the review to return children to Portsmouth from out of city there may be scope for working with schools and parents of those pupils coming up to the end of an age phase to explore the potential for transitioning pupils back.	Identify remit and admissions criteria for new free school within the context of other provisions available within the city Identify those children who would now meet the criteria for the new free school and the potential overall management of admissions within the context of overall provision Identify potential pupils in out of city placements who may eligible and meet the age of transition at the time of opening of the free school to start preparing parental expectations and open discussions with current schools	CC	Aug-19	1	Yes?	Yes	Place planning
	Ref	Recommendation	Actions	Lead	Timescale Month end	Rec level	Consultation required	Funding required	Link to T&F Group

32	10.4.1	All mainstream schools to have an identified Autism Champion to support the development of an autism friendly environment, autism friendly practice and individualised support to pupils on the autism spectrum. This staff member may not hold a qualification relating to ASC but will attend regular training sessions, have experience of working with pupils "on the spectrum" and be able to influence policy and practice in the setting.	Development of Autism Champions and autism friendly schools to be taken forward by Autism Strategy Group. Group to consider the development of a training package on the role, remit, knowledge and skills of an autism champion, autism friendly environment, autism friendly practice Invite schools to put forward staff who wish to become an autism champion Establish an autism best practice group to include staff from mainstream schools, autism inclusion centres and special schools	LR	Aug-19	1	No	No	Autism Strategy
	10.4.3	All special provision to have an ASC specialist (including SEMH provision)	Special schools to identify their autism lead. Role and remit, qualifications and skills to be agreed			1			
	10.4.2	Workforce development in special and mainstream schools to support children and young people with high functioning autism. Development of "Autism champions" programme to ensure high quality provision is in place and that provision is "tribunal proof" (i.e. to prevent PCC being directed to provide out of city placement by SENDIST when PCC feels confident that local provision is/should be an effective and efficient use of	Develop train the trainers programme for autism champions to cascade training to staff in schools			1			SEND Hub
		POST 16 OFFER							
	10.3.1	PCC should continue to work with local post 16 providers to ensure sufficiency of high quality, inclusive educational provision for students with SEND. This is an opportunity for coproduction with young people and families	Post 16 provision Task & Finish Group to be established to : - Clarify the future need for Post 16 provision - Explore options for provision - Develop proposals for wider consideration	AP	Aug-19	3	Yes	Yes	SEND Hub
Page 42	10.3.2	Building on the work of the Post-16 Forum, explore specific gaps in provision. For example, provision for pupils with hearing or/and visual impairment. This might also apply for physical disability, autism and support for re-engagement of young people with SEMH, in co-production with parents and young people. Explore opportunities for shared provision with Hampshire or/and Southampton/West Sussex.	As above	AP	Aug-19	2	No	Yes	SEND Hub
	10.1.9	The review supports the current development of The Harbour School Vanguard Key Stage 4 provision in Cosham. Focussing on a vocational curriculum this provision will be better equipped to meet the needs and interests of the most vulnerable young people with the most challenging behaviour.	Vanguard provision to be included in local offer and considered as part of the range of provision available	CC	Sep-18	1	Yes	Yes	Place planning
	10.3.5	Social care Adult LD team and other teams in Adult Social Care to develop and roll-out a self-assessment tool for young people to clarify needs, develop clear pathways and access to provision. Closer liaison between all social care teams to support young people.	Map Post 16, Post 19 and adult offer Roll-out self-assessment tool Develop transition / provision pathways for young people from Yr9 through Post16, Post 19 and into adulthood	AP/MS	Dec-18	1	No	No	SEND Hub
	10.3.4	Work with adult services to scope the costs and viability of developing supported housing and educational packages.	Post 16 / Adult services Task & Finish Group to be established to develop and cost packages of provision	AP / MS	Dec-18	2	Yes	Yes	SEND Hub
	10.3.6	The Local Authority should work proactively with students, their families and independent out of city specialist providers in transitioning students back to the city for their Post 16 education	Identify Post 16 needs of young people in out of city placements who are currently in Yr10 and map against current provisions. Identify gaps in provision and explore options for addressing these gaps within the context of overall review of provisions within the city Engage with families and young people to explore potential for transitioning current Yr10 pupils back into the city for Post 16 provision in September 2019.	KS		1	No	Yes	
	Ref	Recommendation	Actions	Lead	Timescale Month end	Rec level	Consultation required	Funding required	Link to T&F Group
		RESIDENTIAL OFFER							

	10.1.10	Develop local residential provision and respite for pupils with severe and complex needs/autism and challenging behaviour. Provide support for those children and young people whose needs have a significant impact on the family and / or for those who need 24hr wrap around provision. Consideration could be given to whether there is scope for this to be developed in partnership with Southampton and Hampshire especially for those children who need to be out of their local area.	Establish Residential Task and Finish Group to take this forward	HG	Jul-18	3	Yes	Yes	Residential T&G Group
		OUT OF CITY OFFER							
	10.1.4	Contracting framework for out of city placement to be developed. Contracting framework, in partnership with neighbouring authorities, with providers could provide guarantee of placements, set clear expectations of provision, reduce hidden or unforeseen costs, increase accountability in terms of outcomes and lead to a reduction in exclusions. Greater financial stability for out of city providers may be an incentive for collaboration.	Work with Southampton, Hampshire and neighbouring authorities to develop a framework for the placement of CYP in out of city provisions	HG	Oct-18	2	No	No	Residential T&G Group

Progress
Completed
Completed
Completed
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Completed
Completed. To be shared at SENCo Network meeting
Completed. To be shared at SENCo

			Page 45	

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Portsmouth

Clinical Commissioning Group

Equality Impact Assessment

Preliminary assessment form 2018

www.portsmouthccg.nhs.uk

www.portsmouth.gov.uk

The preliminary impact assessment is a quick and easy screening process. It should:

- identify those policies, projects, services, functions or strategies which require a full EIA by looking at:
 - negative, positive or no impact on any of the equality groups
 - How are going to mitigate or remove any potential negative impacts
 - opportunity to promote equality for the equality groups
 - data / feedback
- prioritise if and when a full EIA should be completed
- justify reasons for why a full EIA is not going to be completed

Directorate:

Children's services & education

Service, function:

Education

Title of policy, service, function, project or strategy (new or old) :

Recommendations from the SEND Strategic Review to Schools Forum relating to managing the spend within the High Needs Block of the Dedicated Schools Grant

Type of policy, service, function, project or strategy:

- ☐ Existing
- ☐ New / proposed
- ☒ Changed

Q1 - What is the aim of your policy, service, function, project or strategy?

To manage the spend within the High Needs Block of the Dedicated Schools Grant (DSG) to ensure that the special educational needs of children and young people can be met within existing resources.

Q2 - Who is this policy, service, function, project or strategy going to benefit or have a detrimental effect on and how?

The High Needs Block of the Dedicated Schools Grant (DSG) has been under increasing pressure over the past few years due to the increasing numbers of children and young people in the city with special educational needs and disabilities. The High Needs Block funding that has been allocated from central government up to 2017 has been cash flat. The flexibility between the blocks within the DSG has enabled us to make up the shortfall by taking money from the schools block. This flexibility was significantly reduced for 2018/19 and again for 2019/20 and is unlikely to be available in future years.

In 2016-17 a projected overspend of £219,139 in the high needs block was offset by 2015/16 DSG carry forward. Costs were contained within the budget provision in 2017/18, however, expected increased pressures resulted in an inability to balance the DSG budget for 2018-19, resulting in a projected requirement in the region of £400,000 to be set against the DSG balance brought forward.

The proposals for changes to policy and practice have the aim of ensuring that children and young people's needs can be met within the resources available.

Q3 - Thinking about each group below, does, or could the policy, service, function, project or strategy have a negative impact on members of the equality groups below?

Group	Negative	Positive / no impact	Unclear
Age	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Race	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual orientation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or belief	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other excluded groups	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Note:Other excluded groups examples includes,Homeless, rough sleeper and unpaid carers. Many forms of exclusion are linked to financial disadvantage. How will this change affect people on low incomes, in financial crisis or living in areas of greater deprivation?

If the answer is "negative" or "unclear" consider doing a full EIA

If there are any potential negative impacts on any of the protected characteristics, What have you put in place to mitigate or remove the negative impacts/barriers?

The proposed changes have the aim of ensuring that children and young people's needs can be met within the resources available. The impact has been analyzed across all schools in the city to ensure that no school is unfairly disadvantaged. For mainstream schools, whilst the majority of schools will see a reduction in element 3 funding, 64% (37) will see a

Q4 - Does, or could the policy, service, function, project or strategy help to promote equality for members of the equality groups? e.g. A new service has been created for people with a disability to help them gain employment this would mean that this helps promote equality for the protected characteristic of disability only.

Group	Yes	No	Unclear
Age	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual orientation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or belief	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy or maternity	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other excluded groups	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

If the answer is "no" or "unclear" consider doing a full EIA

Q5 - Do you have any feedback data from the equality groups that influences, affects or shapes this policy, service, function, project or strategy?
Please add in the text boxes below what feedback / meetings you have attended for each specific protected characteristic

Group	Positive or negative feedback
Age	
Disability	The proposals for change have been developed by a Task and Finish group established during the summer term of 2018. The membership of the group included representatives from primary, secondary and special schools, including mainstream schools with an Inclusion Centre, as well as representatives from PCC Inclusion Service and Finance. Meetings took place between May and July 2018. The group considered a range of proposals for reducing the spend within the high needs block and as a result of this work have recommended the proposals that are being taken forward. Portsmouth Parent Voice have been involved in the development of the proposals on behalf of parent/carers of children and young people with special educational needs and disabilities in the city.
Race	
Sex	
Gender reassignment	
Sexual orientation	
Religion or belief	
Pregnancy and maternity	
Marriage & civil partnership	
Other excluded groups	

Q6 - Using the assessments in questions 3, 4 and 5 should a full assessment be carried out on this policy, service, function or strategy?

☐ yes ☒ No

PCC staff-If you have to complete a full EIA please contact the Equalities and diversity team if you require help Tel: 023 9283 4789 or email: equalities@portsmouthcc.gov.uk

CCG staff-If you have to complete a full EIA please email: sehccg.equalityanddiveristy@nhs.net if you require help

Q7 - How have you come to this decision? Summarise your findings and conclusion below

The proposals are being made to manage the spend within the High Needs Block of the DSG to ensure that children and young people's needs can be met from within the existing resources.

The proposals have been developed in partnership with parent/carers and schools. Schools have been kept informed of the proposals throughout.

While the impact of these proposals will reduce the overall funding available to some schools to support

those with special educational needs and disabilities, there has been careful consideration of the potential impact of these changes and mitigation includes measures to ensure that no one school is unfairly impacted by the changes. The introduction of a banded funding model for mainstream schools and inclusion centres also has the benefit of ensuring that the highest level of funding is available for those with the highest level of need.

Q8 - Who was involved in the EIA?

Julia Katherine, Head of Inclusion

This EIA has been approved by:

Contact number:

Date:

12th September 2018

PCC staff-Please email a copy of your completed EIA to the Equality and diversity team. We will contact you with any comments or queries about your preliminary EIA.

Telephone: 023 9283 4789, Email: equalities@portsmouthcc.gov.uk

CCG staff-Please email a copy of your completed EIA to the Equality lead who will contact you with any comments or queries about your preliminary . Email: sehccg.equalityanddiversity@nhs.net

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Title of meeting:	Schools Forum
Date of meeting:	10 October 2018
Subject:	Dedicated Schools Grant 2018-19 quarter one budget monitoring
Report by:	Chris Ward, Director of Finance and Information Services and Section 151 Officer
Wards affected:	All
Key decision:	No
Full Council decision:	No

1. Purpose of report

- 1.1. The purpose of this report is to inform Schools Forum of the projected revenue expenditure of the Dedicated Schools Grant (DSG) for the current financial year 2018-19 as at the end of June 2018.

2. Recommendations

It is recommended that Schools Forum:

- 2.1. Notes the forecast year-end budget position for the Dedicated Schools Grant as at 30 June 2018, together with the associated explanations contained within this report.

3. Background

- 3.1. The DSG is a ring-fenced grant for Education and can only be used for the purposes of the Schools Budget as defined in the School and Early Years Finance (England) Regulations.
- 3.2. The original DSG budget for the financial year 2018-19, was approved by the Cabinet Member for Education and endorsed by Schools Forum in January 2018. Further budget adjustments were agreed by the Cabinet Member and endorsed by Schools Forum in July 2018; whilst these were approved after the closure of the first quarter accounts, the adjustments have been included within the first quarter's monitoring to ensure the forecast reflects recent decisions. This report provides Schools Forum with the latest forecast estimate of the year-end outturn as at 30 June 2018.

- 3.3. Table 1 below sets out the forecast year-end financial position of the DSG budget as at 30 June 2018.

Table 1 - Dedicated Schools Grant					
		Original budget 2018-19 £000's	Revised Budget 2018-19 £000's	Projected outturn 2018-19 £000's	Projected over / (under) spend £000's
Income					
DSG Brought forward 2017-18		(413)	(4,687)	(4,687)	0
DSG and other specific grants		(79,592)	(70,876)	(70,876)	0
Total Income		(80,005)	(75,563)	(75,563)	0
Expenditure					
Primary ISB		34,230	28,977	28,977	0
Secondary ISB		14,742	11,305	11,305	0
Special school place funding		1,556	1,556	1,597	41
Inclusion centre place funding		346	301	301	0
Alternative provision place funding		1,082	1,082	1,082	0
Total Delegated		51,956	43,220	43,261	41
De-delegated and central budgets		1,385	1,534	1,534	0
Early Years		14,204	14,204	14,204	0
High Needs		12,460	12,462	13,836	1,374
Total Expenditure		80,005	71,421	72,836	1,415
DSG Carried forward		0	4,142	2,727	(1,415)

Academy conversions and post 16 recoupment

- 3.4. Since the original budget was set in January 2018, there have been a number of academy conversions and Post 16 place adjustments; these have been included within the revised budget along with the one academy conversion (Penhale Infant and Nursery) during the period from 1 April to 30 June 2018. Budget adjustments relating to the future conversion of Meon Infant School will be reflected in the quarter 2 budget monitoring.

Special School places

- 3.5. Special school places are expected to overspend by £40,800 due to the additional places agreed at Willows for pupils starting school in September 2018. As stated in the February report to Cabinet Member and Schools

Forum, the in-year budgetary pressure is being covered by the 2017-18 carry forward, whilst the High Needs budgets are reviewed in preparation for 2019-20 financial year.

De-delegated and Central Budgets

- 3.6. The growth fund allocations have been issued to schools and academies meeting the criteria for 2018-19. Overall four maintained schools and seven academies received growth funding for the financial year 2018-19. The forecast remains on budget and no further payments are expected during the course of the financial year.

Early Years Block

- 3.7. At the time of closing the first quarter's accounts, the final summer term payments to early years' providers of two, three and four year-old childcare have yet to be made, therefore the forecast remains on budget. Adjustments will be made during July and August 2018 for actual take up during the summer term, as well as the funding adjustment to the DSG for take up during 2017-18. The forecast will be updated accordingly in the second quarter monitoring statement.

High Needs Block

- 3.8. Similarly, the summer term class lists for Special Schools, Inclusion Units and Alternative provision settings across the City were not fully validated at the time of writing this report, therefore the forecast outturn for the Element 3 Top-up funding for these settings will be as at budget and forecasts will be updated and included in the quarter 2 monitoring report.
- 3.9. Table 2 below summarises the forecast outturn position for the high needs block, explanations for which are set out in the following paragraphs.

Table 2 - High Needs Budget	2018-19 Revised budget	Forecast Out turn as at 30 June 18	Forecast (under)/over spend
	£	£	£
Element 3 Top up	8,731,900	9,052,200	320,300
Out of City providers	2,148,900	2,334,300	185,400
Financial support to special schools	0	868,300	868,300
SEN support services	674,700	674,700	0
Medical Education	660,000	660,000	0
Outreach	186,900	186,900	0
Fair Access Protocol	60,000	60,000	0
Total High Needs Block	12,462,400	13,836,400	1,374,000

Element 3 Top-up

3.10. Table 3 below breaks down the forecast overspend position for the Element 3 Top up funding as at the end of June 2018.

Table 3 - Element 3 Top-up	2018-19 Revised budget	Forecast Out turn as at 30 June 18	Forecast (under)/over spend
	£	£	£
EHCP Mainstream	1,205,200	1,524,100	318,900
Element 3 Top Up Special Schools	5,824,400	5,824,400	0
Element 3 Top Up - Resource Units	281,200	281,200	0
Element 3 Top Up - AP	221,100	221,100	0
Post 16 Special Educational Needs	800,000	800,000	0
Element 3 Top Up - OLA School	400,000	401,400	1,400
Total Element 3 Top-up	8,731,900	9,052,200	320,300

3.11. The September 2018 in-take of Post 16 pupils cannot be agreed and finalised with Colleges until October 2018, when pupil destinations are confirmed. Therefore the forecast position will be updated in the third quarter following receipt of the final data.

3.12. The forecast position for pupils at mainstream schools with Education Health and Care Plans (EHCP), is showing a predicted overspend of £318,900. The forecast position includes any changes to pupils and EHC Plans up to the end of June 2018 and along with the expected growth (based on 2017-18 growth) over the remaining months of the academic year.

3.13. There has been a net increase of 44 mainstream pupils with EHCPs between April and June 2018. The average cost per pupil has increased from a budgeted rate of £2,911 to £3,494

3.14. Portsmouth is responsible for paying the Element 3 Top-up rates for our pupils, including when they are placed in Special Schools located in other local authorities. The forecast overspend reflects known variances, however, a number of invoices are still outstanding for the 2017-18 financial year. Expected costs were accounted for in the correct year, but any variances to these estimates could impact on the forecast position for 2018-19. The current value of the outstanding creditors is £79,500.

3.15. As previously reported, a task and finish group has been set up to review high needs budgets and the options for managing the pressures into 2019-20. The outcomes of the discussions and proposed changes are included on the October 2018 Schools Forum agenda.

Out of City Placements

3.16. Out of City placements are split between:

- Independent and Specialist provision
- Child and Adolescent Mental Health Services (CAMHS).

3.17. Table 4 below provides a breakdown of the forecast position for each element.

Table 4 - Out of City Placements						
	Budget		Forecast position		Variance	
	£	Pupils	£	Pupils	£	Pupils
Independent & Specialist providers	2,120,400	40	2,299,000	36	178,600	(4)
CAMHS	28,500	7	35,300	9	6,800	2
Total	2,148,900	47	2,334,300	45	185,400	(2)

Independent and specialist provision

3.18. The budget is forecast to overspend by £178,600, based on the current pupils and expected expenditure. Whilst the number of pupils with an EHCP in out of City placements is lower than budgeted, the average cost of the placements has increased from a budgeted average of £53,010 to an average cost of £63,862 as at the end of June 2018. The increases are due to both inflationary increases which have been applied to some provider contracts, together with increases due to changes in need.

3.19. The authority is currently awaiting a number of outstanding invoices from providers relating to the 2017-18 financial year. These are currently showing as creditors in the 2018-19 financial year. Estimated costs were accounted for in the correct financial year, but any variances to these estimates could impact on the forecast position for 2018-19. The current value of the outstanding creditors is £131,100.

Child and Adolescent Mental Health Services (CAMHS)

- 3.20. There are currently 9 Pupils where the authority is expecting to fund a CAMHS placement at an estimated total cost 35,300, this is £6,800 over budget (budget set on 7 pupils). It should be noted that the actual cost of these pupils will not be known until the invoice is received. The estimate is based on the average cost per pupil paid in 2017-18 (£3,916).
- 3.21. There were a number of pupils placed in CAMHS settings in 2017-18 for whom the authority is still awaiting invoices. These have accounted for in the correct year, however, should the value of the actual invoice be differ from the creditor provision, this could impact on the forecast for 2018-19. The current value of outstanding creditors is £19,600.

Financial support to Special Schools

- 3.22. At the May 2018 Schools Forum meeting the Forum endorsed a proposal to fund the Harbour School Deficit which was then approved by the Cabinet Member in July 2018. The forecast position includes the estimated impact of the July 2018 approval.

Grant funding

- 3.23. The DSG grant funding includes the adjustments made for academy conversions and post 16 place recoupment occurring during the first quarter. Further adjustments are expected in the second quarter for early years' pupil numbers for the period September to March 2017-18 and for 2018-19 financial year following the January 2018 census, once received the adjustments will be included in the second quarter monitoring.

Carry forward balance

3.24. The January budget setting report and the July budget revision reports provided an update on the use of the carry forward from 2017-18. The table below provides the position as at the 30 June 2018.

Table 5 - Use of the 2017-18 carry forward balance		
	£m	£m
Brought forward from 2017-18		4.687
Increase in HN budget to support additional spend	(0.413)	
Schools-specific contingency	(0.133)	
Total approved use of balances (January 2018) and included in forecast position:		(0.546)
Revised Budget as at 30 June 2018		4.141
Forecast overspend as per Table 1		(1.415)
Forecast position as at 30 June 2018		2.727
Other potential pressures (awaiting confirmation - not included within the June forecast position)		
Revenue contribution to refurbishment of Redwood Park School Awaiting Secretary of State approval	(1.000)	
Additional Special School Places (related Element 3 Top-up)	(0.082)	
Post 16 recoupment of high needs places	(0.102)	
Total other potential pressures (awaiting confirmation)		(1,184)
Estimated DSG reserves 2018-19		1.543

4.

Reasons for Recommendations

4.1. It is recommended that Schools Forum notes the contents of the report in respect of the financial forecast outturn for 2018-19 as at the end of the first quarter, 30 June 2018.

5. Equality impact assessment

5.1. An equality impact assessment is not required as the recommendations do not have a negative impact on any of the protected characteristics as described in the Equality Act 2010.

6. Legal implications

6.1. There are no legal implications arising directly from the recommendations contained within this report

7. Director of Finance's comments

7.1. Financial comments are contained within the body of the report

.....

Signed by:

Appendices:

Background list of documents: Section 100D of the Local Government Act 1972

The information upon which this report has been based has been drawn from a variety of sources: however much of the information used is held in budget files prepared by the children and Education Finance Team. Please contact Beverley Pennekett, Finance Manager, if required.

Title of document	Location

The recommendation(s) set out above were approved/ approved as amended/ deferred/ rejected by on

.....
Signed by:

Agenda Item 8

THIS ITEM IS FOR INFORMATION ONLY

(Please note that "Information Only" reports do not require Equality Impact Assessments, Legal or Finance Comments as no decision is being taken)



Portsmouth
CITY COUNCIL

Title of meeting:	Schools Forum
Subject:	Schools Block Funding Formula 2018-19 Benchmarking
Date of meeting:	10 October 2018
Report by:	Alison Jeffery, Director, Children Families and Education
Wards affected:	All

1. Purpose of the report

To inform Schools Forum of the national picture regarding the 2018-19 funding formula factor values. The DfE report has been annotated to show the Portsmouth funding formula factor values and the National Fair Funding formula factor values for Primary and Secondary schools.

2. Recommendations

It is **RECOMMENDED** that Schools Forum:

- a) notes the contents of the report.

3. Information provided

The attached document (Appendix A) is the annual report from the Department for Education (DfE) providing an overview of the 2018-19 funding formula factor values chosen by local authorities as at March 2018.

Signed by Alison Jeffery, Director of Children, Families and Education

Appendices:

Appendix A - Schools Block funding formulae 2018-19

Background list of documents: Section 100D of the Local Government Act 1972

The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:

THIS ITEM IS FOR INFORMATION ONLY
(Please note that "Information Only" reports do not require Equality Impact Assessments, Legal or Finance Comments as no decision is being taken)



Portsmouth
CITY COUNCIL

Title of document	Location
Schools block funding formulae 2018-19. Analysis of local authorities' schools block funding formula	https://www.gov.uk/government/publications/schools-block-funding-formulae-2018-to-2019



Education & Skills
Funding Agency

Schools block funding formulae 2018-19

**Analysis of local authorities' schools
block funding formulae**

July 2018

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Introduction

In January 2018, local authorities in England submitted to the Education and Skills Funding Agency (ESFA) their local formulae for allocating their dedicated schools grant (DSG) schools block funding for 2018-19 to schools in their area. This document summarises the information on these local formulae.

2018-19 saw the introduction of the national funding formula (NFF). This reform means that for the first time, school funding is being distributed according to a formula based on the individual needs and characteristics of every school in the country. In order to provide stability for schools during the transition to the NFF, we have previously confirmed that local authorities continue to be responsible for distributing money between schools in their area in 2018-19 and 2019-20. Detailed information about the NFF can be found in [the national funding formula for schools and high needs: executive summary](#), which was published in September 2017.

For 2018-19, each local **authorities' schools block DSG allocation was calculated based** on the notional NFF allocations for schools in their area. Local authorities then set their own funding formula in order to distribute their schools block allocation. This document provides an overview of the 2018-19 formula factor values chosen by local authorities as at 23 March 2018. For 2018-19, schools are funded using a maximum of 14 clearly defined factors.

The data in this document shows that many authorities have moved towards the values in the NFF when setting their 2018-19 funding formula. When allowing for the area cost adjustments (ACA)¹ which are applied to each of the factors in the NFF it shows, 73 LAs have moved every one of their factor values in their local formulae closer to the NFF, with 41 mirroring the NFF factor values almost exactly. Sixty two LAs have set their minimum funding guarantee at 0.5% or above, meaning all schools in that area will gain in cash terms compared to 2017-18, and 112 LAs have brought in a minimum per pupil funding factor, mirroring its introduction in the NFF. In light of this significant progress in the first year of the NFF, and to continue to support a smooth transition, local authorities will continue to determine local formulae in 2020-21.

This document provides charts and brief commentary on the ranges of unit funding amounts authorities have selected in 2018-19, and the proportions of schools block funding distributed under each of the permitted factors. This document is accompanied by a **data file, more details about which can be found in the "Information about the data**

¹ The NFF applies an area cost adjustment (ACA) to each of the individual factors. The data shown in this document does not include the ACA adjustment. When comparing the factors used by each authority against the NFF the ACA adjustment, where applicable, should be taken into account.

file" section at the end of this document. Small details of funding formulae may change subsequently compared to the figures presented here as a result of late amendments.

Note that in the charts shown throughout the document the range of values along the x-axis include the value at the lower end and exclude the maximum value. So for example a band labelled 4% to 6% will include values of exactly 4% but will exclude values of exactly 6%. The charts are colour coded throughout the document:

- charts showing percentages are black/grey
- all other charts are blue.

A similar summary about [local authorities' funding formulae for 2017-18](#) was published by the DfE last year.

Commentary

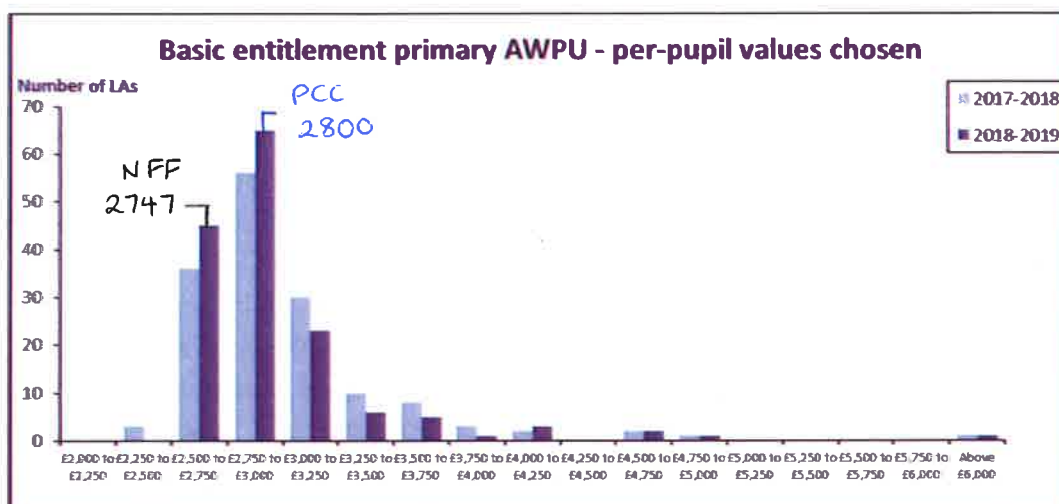
This chapter looks at each of the principal formula factors in turn. It sets out the values that local authorities have chosen for those factors in their local formulae for 2018-19, how these have changed from previous years and, where relevant, how they compare to the values in the NFF, as set out in the [NFF technical note](#). It should be noted that these comparisons to the NFF are not precise, due to the effect of the Area Cost Adjustment (ACA), which reflects variation in local costs. Individual factor values in the NFF do not include the impact of the ACA, which is applied (at a rate of 1 - 1.18) as a separate element within the overall NFF calculation. By contrast, the values of factors in individual **local authorities' local formulae implicitly include the effect of the ACA. It also sets out the** proportion of funding allocated through each factor².

Basic per-pupil entitlement

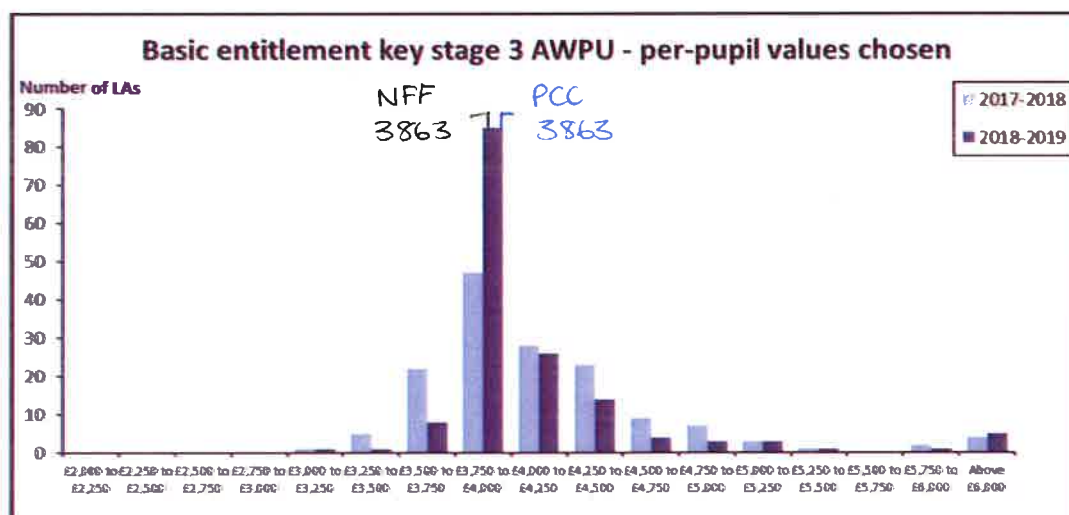
This is a mandatory factor which every local authority must use in their 2018-19 formula. Local authorities are permitted to choose different age-weighted pupil unit (AWPU) rates for primary pupils, for key stage 3 pupils and for key stage 4 pupils; but they must specify a primary AWPU of at least £2,000, and key stage 3 and key stage 4 AWPU values of at least £3,000.

The majority (88%) of primary AWPUs selected by local authorities are in the range of £2,500 to £3,250, although there are a few significant outliers of over £4,000. Seventeen of the 20 local authorities with the highest primary AWPUs are in London. The AWPUs are very similar to last year although the distribution of the primary rate shows a move towards the rate of £2,746.99 stated in the [NFF technical note](#).

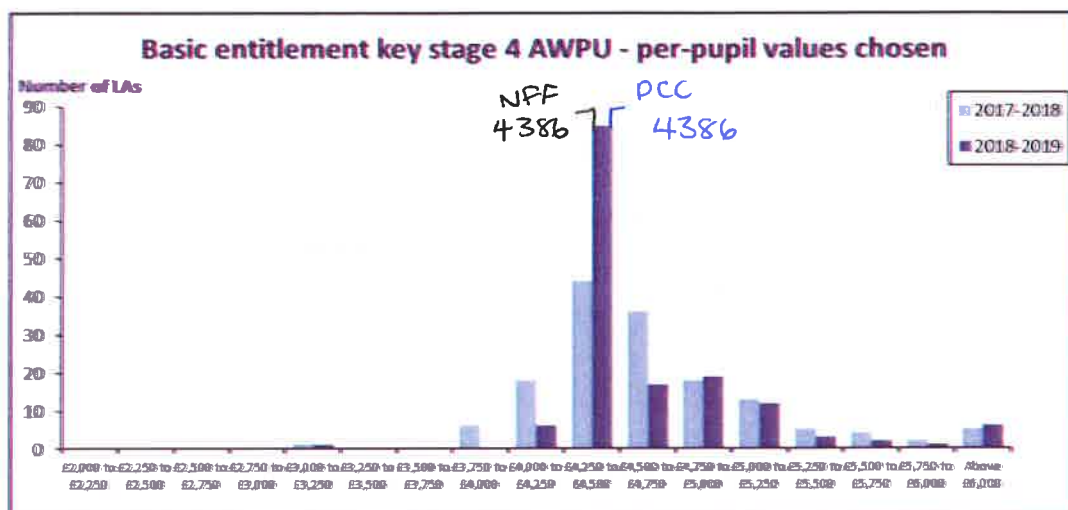
² In the charts showing the ranges of unit funding amounts local authorities have used for the formula factors, only those authorities which have chosen to use that factor in their formula in each year are shown. However, in the charts showing the proportion of funding allocated using the factors, all local authorities are displayed, with those not choosing to use the factor (where its use is not mandatory) shown as allocating 0%.



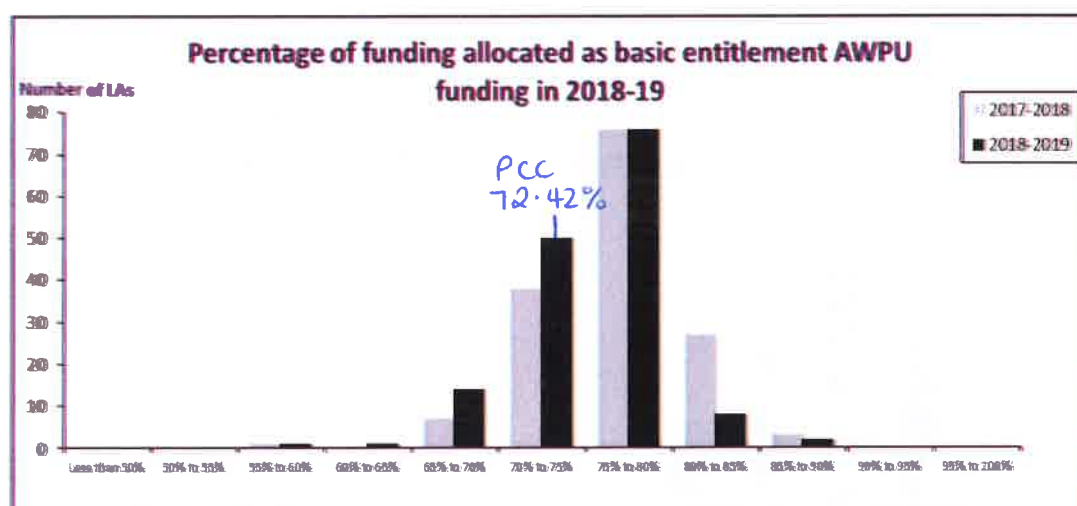
The distribution of the KS3 and KS4 rates show a move towards the NFF rates of £3,862.65 and £4,385.81 given in the [NFF technical note](#). For key stage 3 AWPUs, 88% of local authorities are allocating between £3,500 and £4,500 per pupil, and for key stage 4, the majority (84%) are allocating between £4,000 and £5,000 per pupil. Again, the authorities with the largest secondary AWPUs are mostly in London³.



³ City of London have a value of £3,000 for their key stage 3 and key stage 4 AWPUs in 2017-18 and 2018-19, which is shown on the chart; however they do not have any key stage 3 or key stage 4 pupils at their sole school so allocate no funding through these indicators.



The final chart in this section shows the proportions of schools block funding that local authorities are allocating through the basic entitlement factor. Overall, the proportion of funding being spent on the AWPU ranges from 59% to 87%, with 50% of local authorities allocating between 75% and 80%. Across all authorities, 74.9% of funding is being allocated through basic entitlement, compared to 76.9% of funding in the 2017-18 formulae.



Deprivation

This is another mandatory factor which every local authority must use in their 2018-19 formula. Local authorities can distribute their deprivation funding using any combination of the three indicators: children eligible for free school meals, children eligible for free school meals in any of the last 6 years or Income Deprivation Affecting Children Index (IDACI) data.

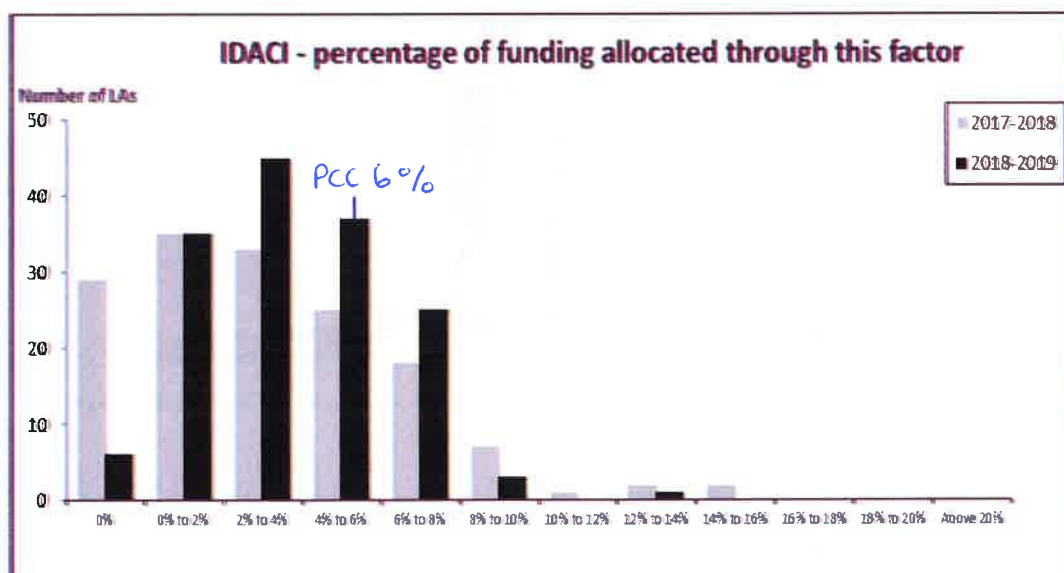
IDACI scores are taken from the English Indices of Deprivation (IMD) published by the Department for Communities and Local Government. IDACI is a measure of income

deprivation and identifies the proportion of children in out-of-work households or on low incomes.

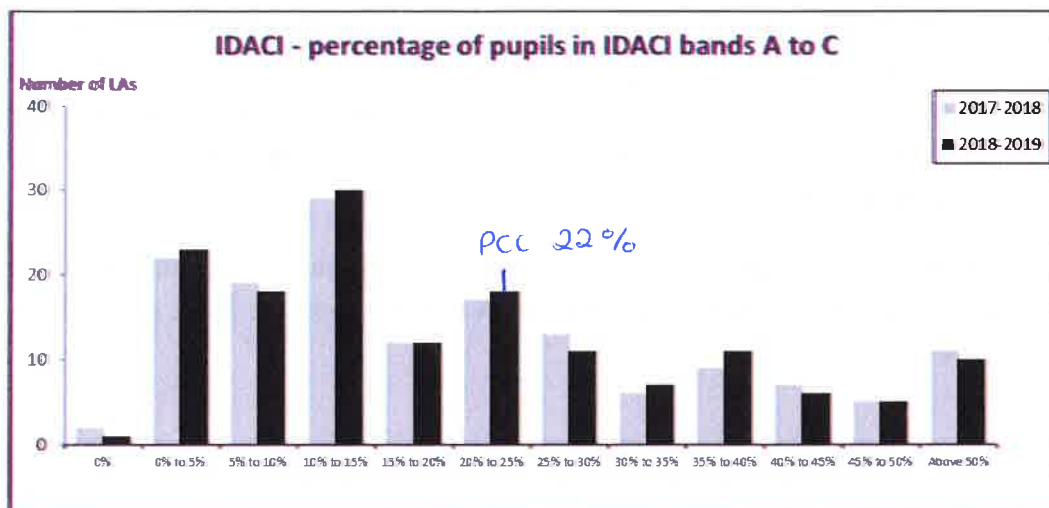
The IDACI scores are grouped into 7 bands as per the table below:

IDACI score	IDACI band value
$x < 0.20$	G
$0.20 \leq x < 0.25$	F
$0.25 \leq x < 0.30$	E
$0.30 \leq x < 0.35$	D
$0.35 \leq x < 0.40$	C
$0.40 \leq x < 0.50$	B
$x \geq 0.50$	A

The first chart in this section indicates that there is some variation between local authorities in the amount of funding allocated through this element of the factor. Of the 146 authorities using IDACI in their deprivation factor 19% are using it to allocate more than 6% of their total funding compared to 20% in 2017-18.



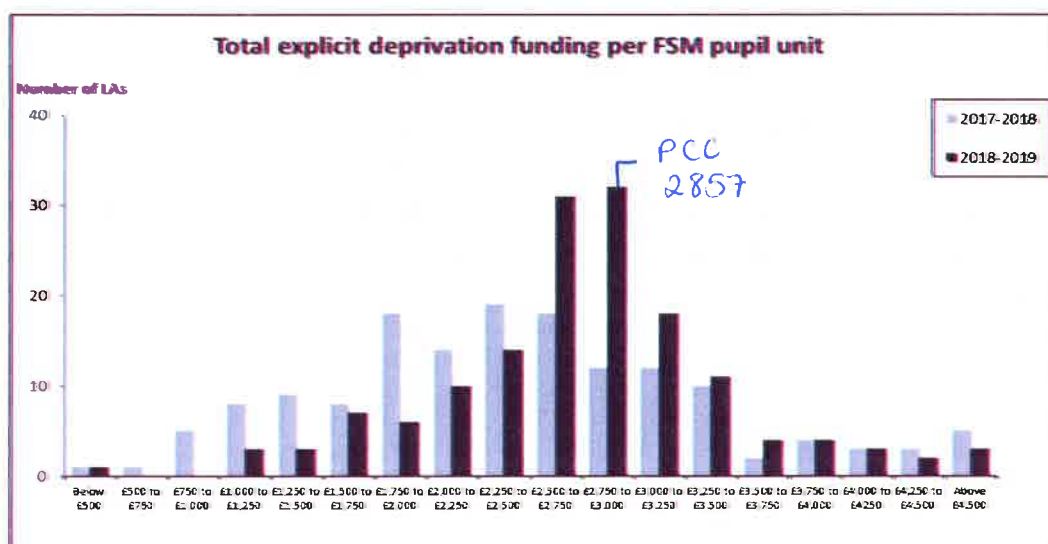
In 2018-19 33% of authorities have more than 25% of their pupils in IDACI bands A to C (compared to 34% in bands A to C in 2017-18) and 10 authorities have more than 50% of pupils in bands A to C in 2018-19 (compared to 11 authorities in 2017-18).



Because of the different permutations of deprivation indicator selections available for local authorities to use for this factor, it is not immediately straightforward to calculate per-pupil funding amounts on a comparable basis. For the purpose of this analysis, total funding allocated through the deprivation factors is divided by the number of FSM pupils, to obtain an estimate of the deprivation funding per FSM pupil, as below.

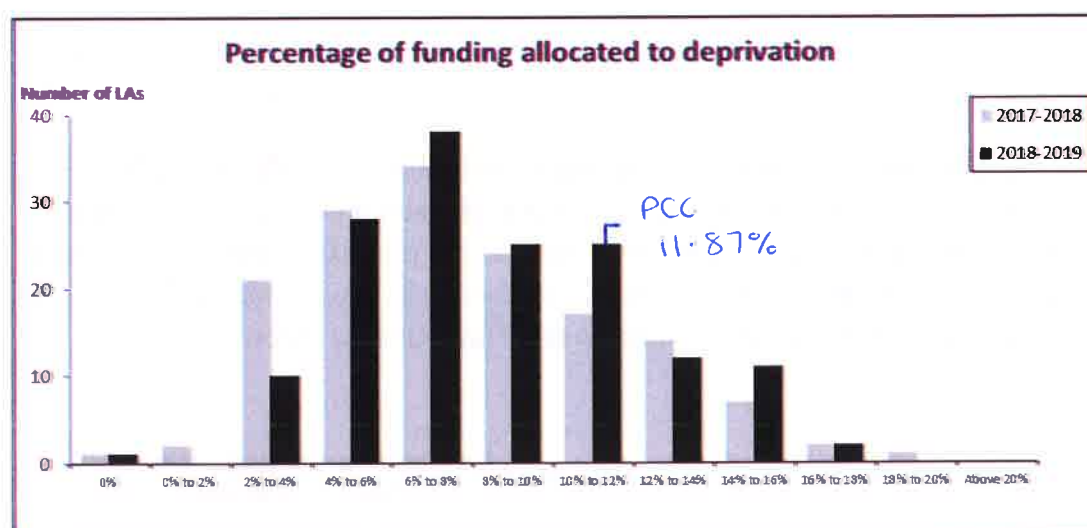
$$\text{Total deprivation per FSM pupil for each LA} = \left(\frac{\text{Total Deprivation funding in FSM+IDACI}}{\text{Number of FSM pupils}} \right)$$

The chart below indicates that there is some variation between local authorities in the amount of funding allocated per FSM pupil. 66% are allocating between £1,500 and £3,000 per FSM pupil.



There is considerable variation in the proportion of schools block funding which local authorities are allocating to schools through the deprivation factor, ranging from 0% to 18%, as illustrated by the chart below. While the deprivation factor is mandatory, the Isles of Scilly this year have no money allocated to it as no pupils meet the criteria for any of the deprivation categories used.

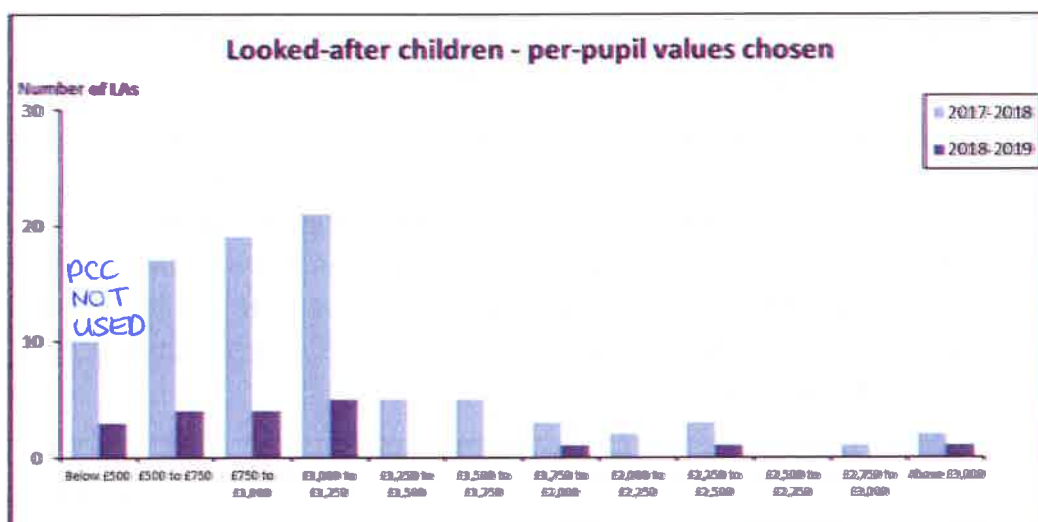
There is some variation in allocation within authorities from last year (as highlighted in the graph below), but across all authorities, the allocation has increased to 8.2% in 2018-19 compared to 7.7% in 2017-18.



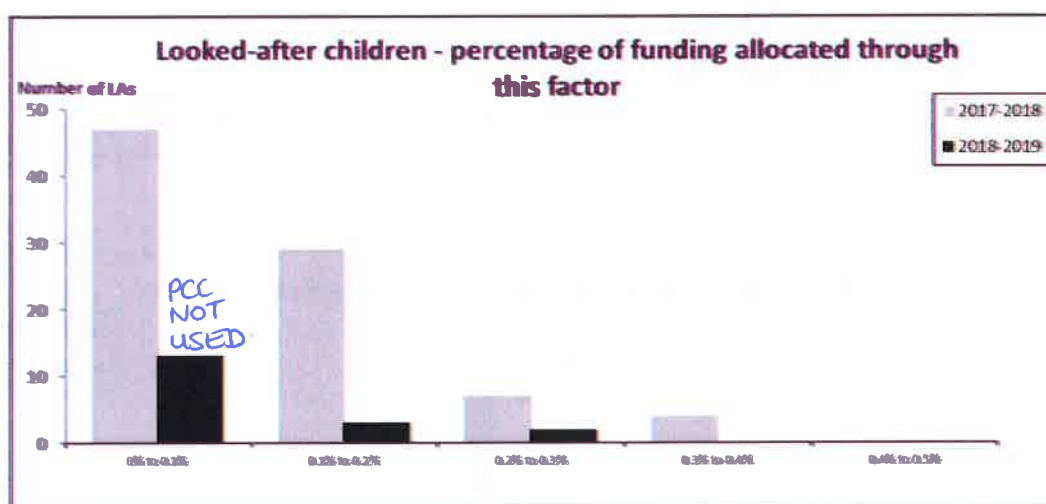
Looked-after children

Use of this factor in funding formulae is optional, and only 19 local authorities have chosen to use it, compared to 88 in 2017-18. The factor is not included in the NFF and this may be the reason for the large decrease in the number of local authorities using it in their 2018-19 formula.

As in 2017-18, the indicator authorities can use for this factor is children looked after for any period of time as at the end of March 2017 (as recorded on the March 2017 SSDA903 collection). Of the authorities that are using the factor 84% are allocating less than £1,250 per pupil. The chart below shows for those authorities using the factor the amount allocated per pupil.



Across all local authorities (including those not using the factor), a total of 0.01% of schools block funding is being allocated through the looked-after children factor.



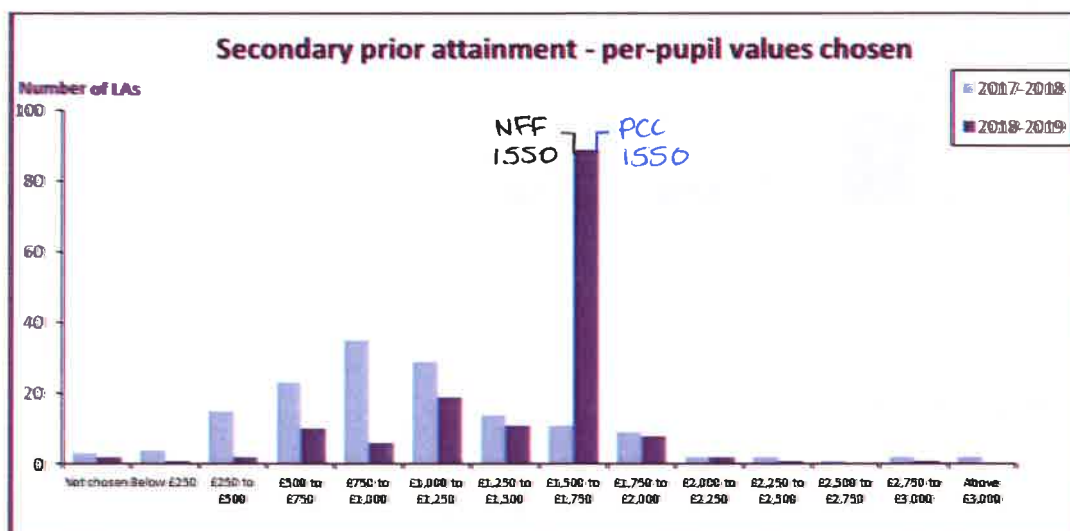
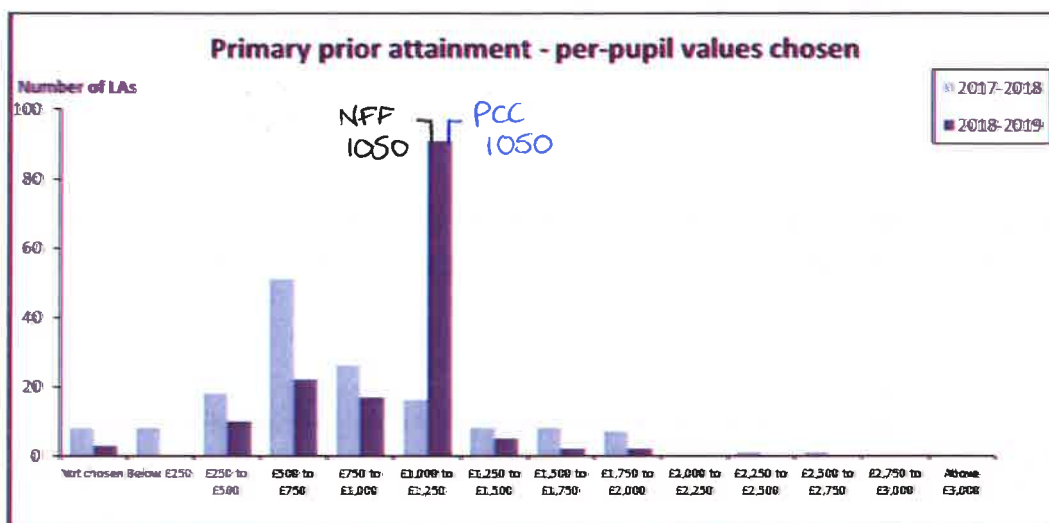
Prior attainment

Use of this factor is optional, but the factor is included in the NFF. 149 local authorities are using the indicator for primary pupils (compared to 144 in the 2017-18 formulae) and 150 are using the indicator for secondary pupils (149 last year). Two authorities have not included this factor in their formula.

For primary pupils, the indicator is the number of children in years 1 to 5 assessed under the new early years foundation stage profile as not achieving a good level of development, and the number in year 6 not achieving 73 points or more or 78 points or more under the old profile (authorities could pick between whether to use the 73 or 78

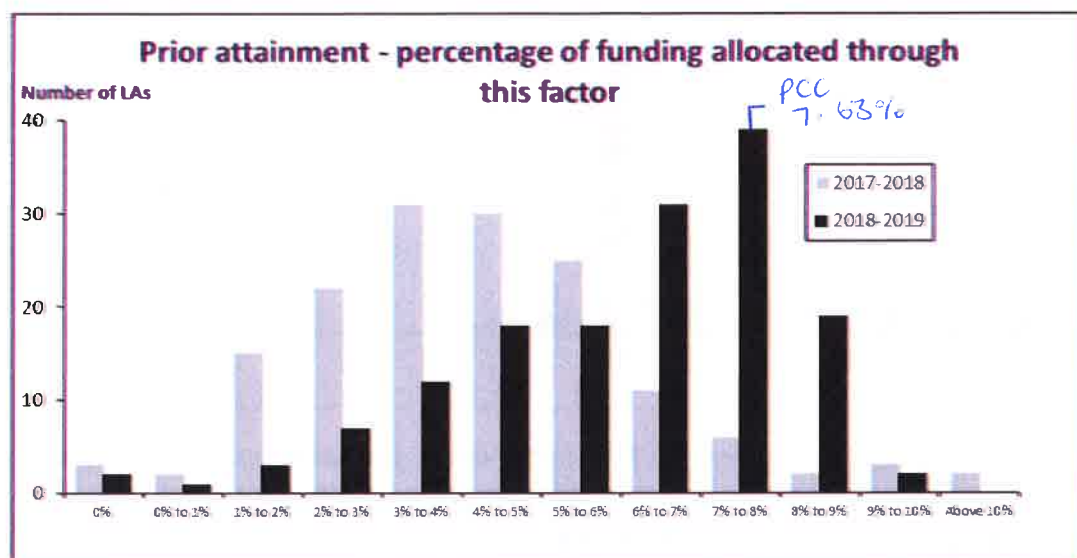
point indicator). In their formula local authorities can scale back the proportion of years 1 to 5 **pupils not meeting the 'good development' criterion**.

For secondary pupils a new national curriculum and assessment was introduced in the 2015-16 academic year, which years 7 and 8 have been assessed under. The proportion of pupils who fall in the low prior attainment bracket is higher than the proportion in years 9-11, so a national weighting has been applied to each of these years to prevent them overly influencing the funding levels. Separate weightings have been applied to year 7 pupils and to year 8 pupils. Please see page 15 of the [schools revenue funding 2018-19: operational guide](#) for further details.



The distribution of the low prior attainment rates for both primary and secondary pupils shows a significant movement towards the NFF values of £1,050 and £1,550 respectively.

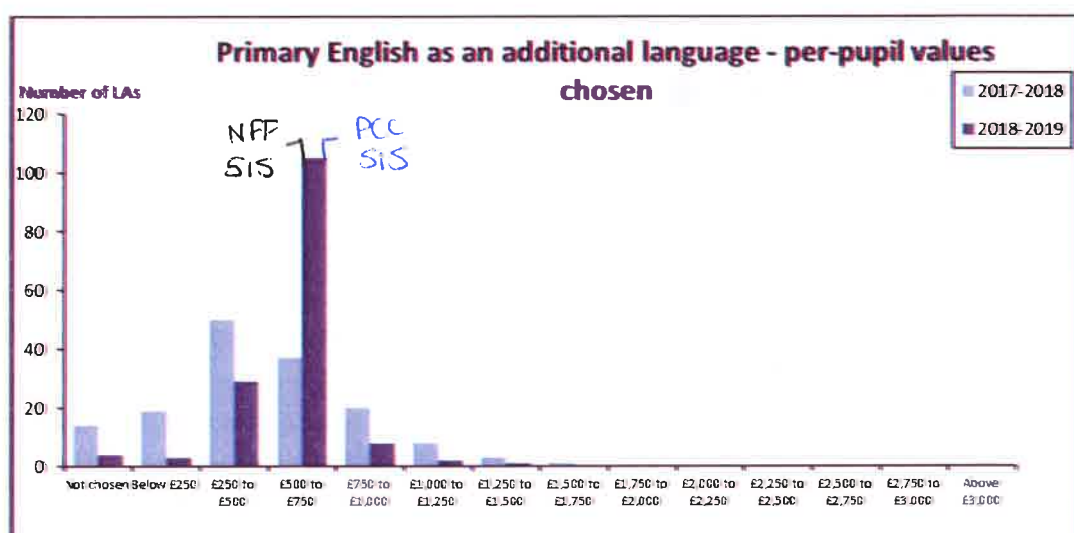
The NFF increased the amount of funding nationally that is allocated through the low prior attainment factor. This shift is being mirrored in local formulae. The chart below shows that 72% of local authorities are allocating between 5% and 10% of their schools block funding through this factor compared to only 31% last year. Across all authorities, 6.2% of funding is allocated through this factor compared to 4.3% last year.



English as an additional language (EAL)

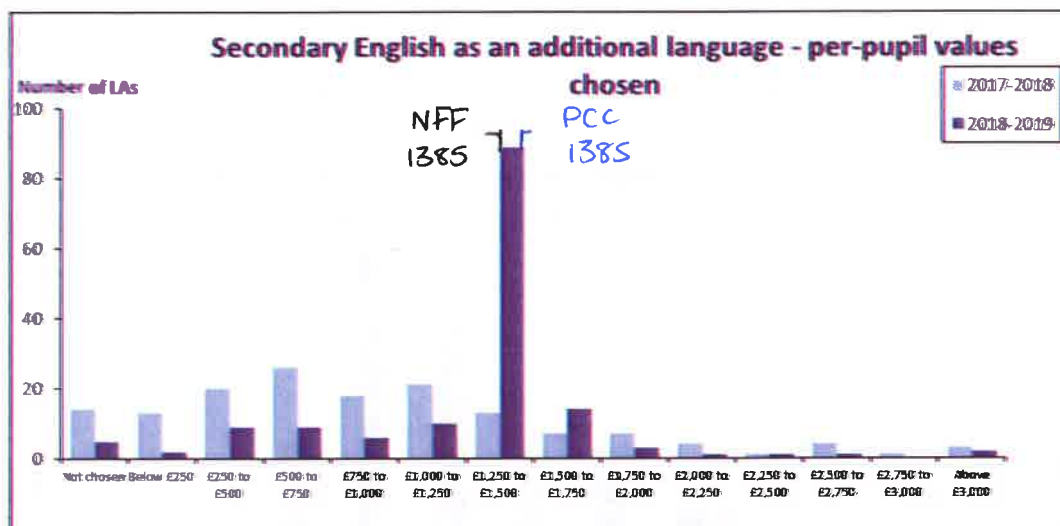
Use of this factor is optional, but the factor is included in the NFF. 148 local authorities have chosen to use it, compared with 139 in 2017-18.

Local authorities can choose one of three indicators for this factor: the number of pupils with EAL who entered the compulsory school system in either the last one, two or three years.

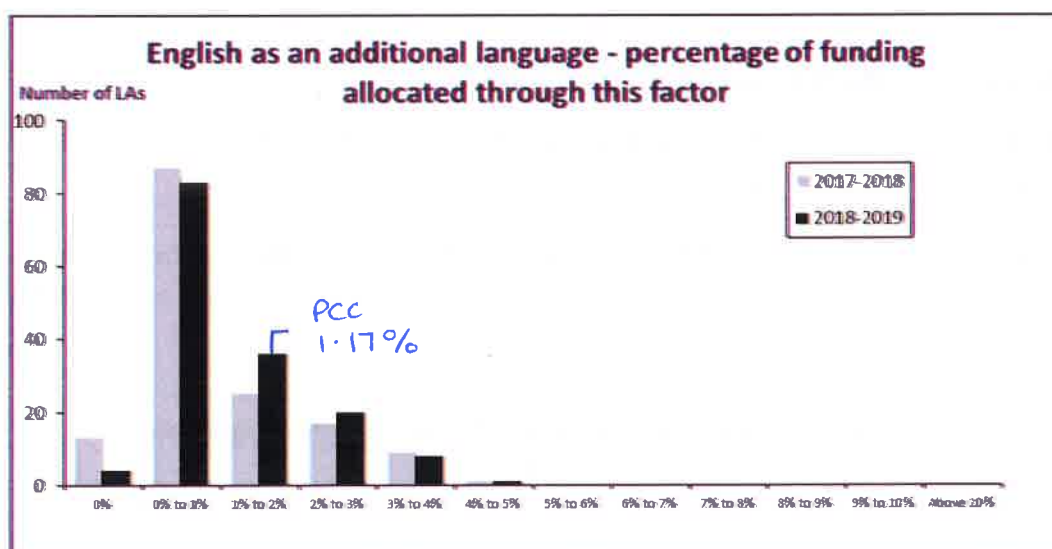


The distribution of the EAL rates for both primary and secondary pupils shows a significant movement towards the NFF values of £515 and £1,385. For the primary

indicator 69% of local authorities are allocating between £500 and £750 per pupil. For the secondary indicator 59% are allocating between £1,250 and £1,500 per pupil.

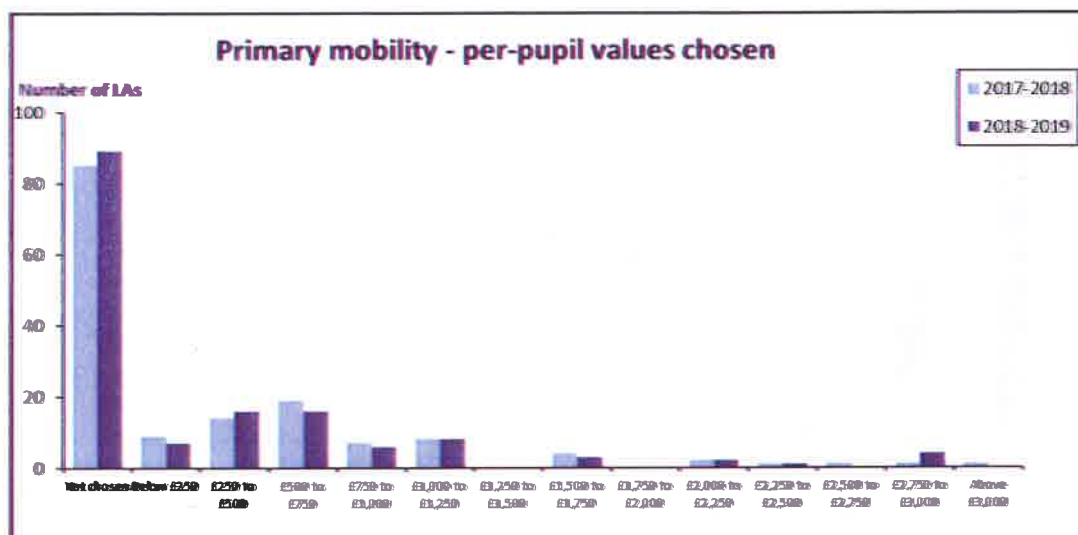


With pupils attracting funding through the EAL factor being smaller in number than those attracting funding through many other factors, across all local authorities 1.1% of funding is allocated through this factor, compared to 0.9% in 2017-18.

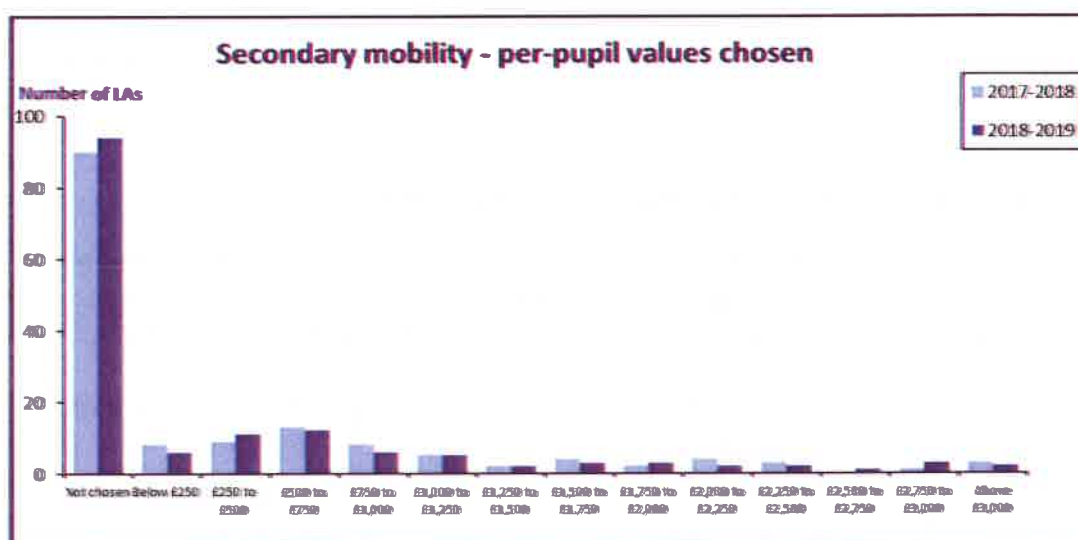


Mobility

Use of this factor is optional, and only 63 of the 152 local authorities have chosen to use it compared to 67 in 2017-18. Mobility is included in the NFF, but is currently funded on a **‘historic’ basis** – in other words only authorities that used the factor in their local formulae in 2017-18 received funding through this factor in their 2018-19 NFF allocations. This may explain why the proportion of authorities using the factor remained relatively stable. **The indicator for this factor is the number of ‘mobile’ pupils in excess of 10% of pupils,** and is payable on the number of pupils exceeding this cut off (for example if a school has 12% mobile pupils, funding is applied to 2%).

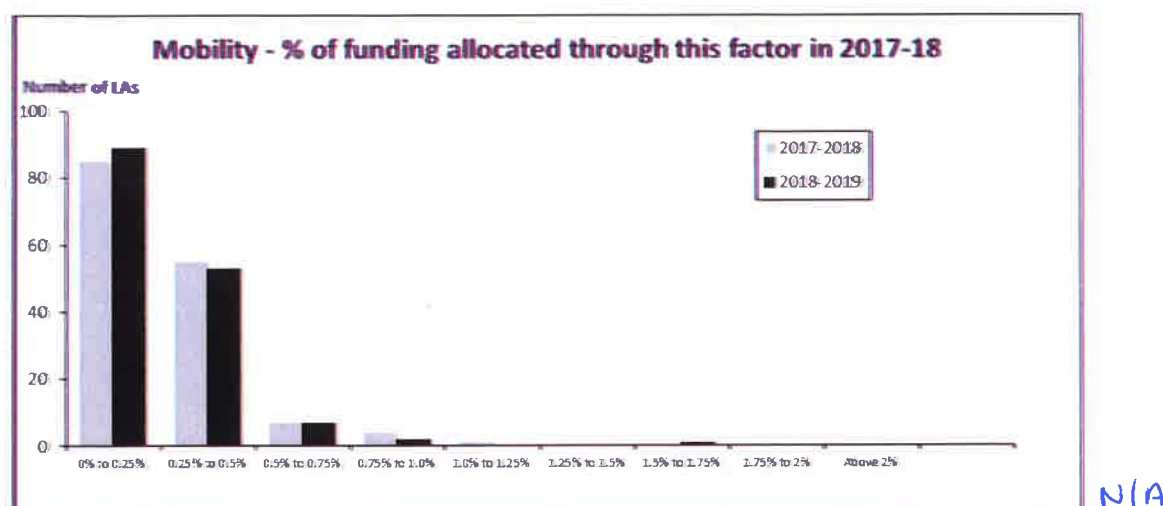


N/A



N/A

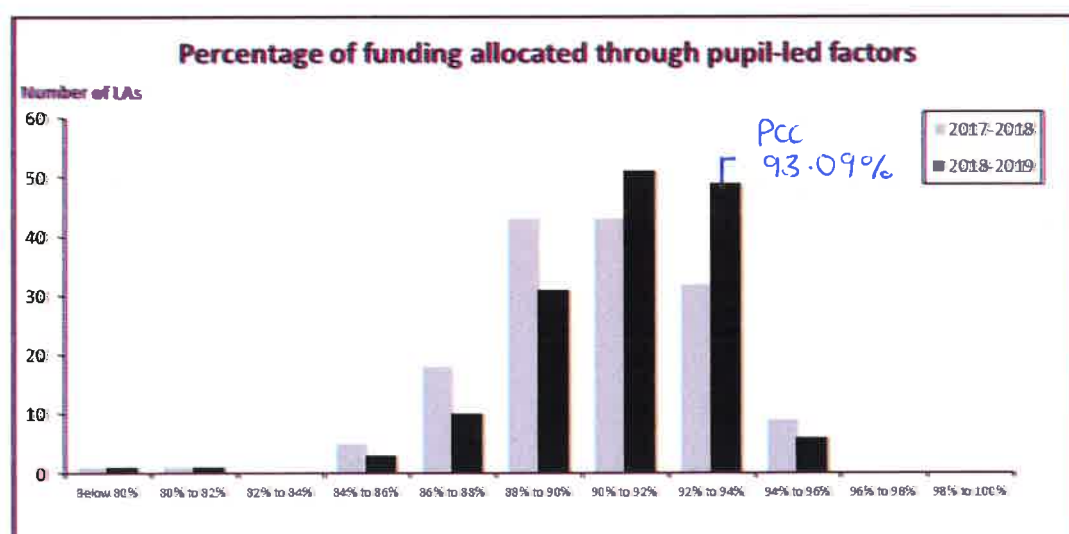
Primary per-pupil amounts range from £65 to £2,981, and the secondary per-pupil amounts from £14 to £18,826.



Only one of the local authorities which are incorporating the mobility factor into their 2018-19 funding formulae are using it to allocate more than 1% of their schools block funding, and only three are allocating more than 0.5%. Across all local authorities as a whole, some 0.1% of schools block funding is being allocated through this factor, the same as in the 2017-18 formulae.

Total funding through the pupil-led factors

The factors highlighted above (that is basic per-pupil entitlement, deprivation, looked-after children, prior attainment, English as an additional language, and mobility) are pupil-led. Although there is considerable variation across local authorities in the choices of factors used, the per-pupil amounts, and the proportions of funding allocated through each one, overall there is strong consistency in the proportions of funding allocated through the pupil-led factors as a whole.

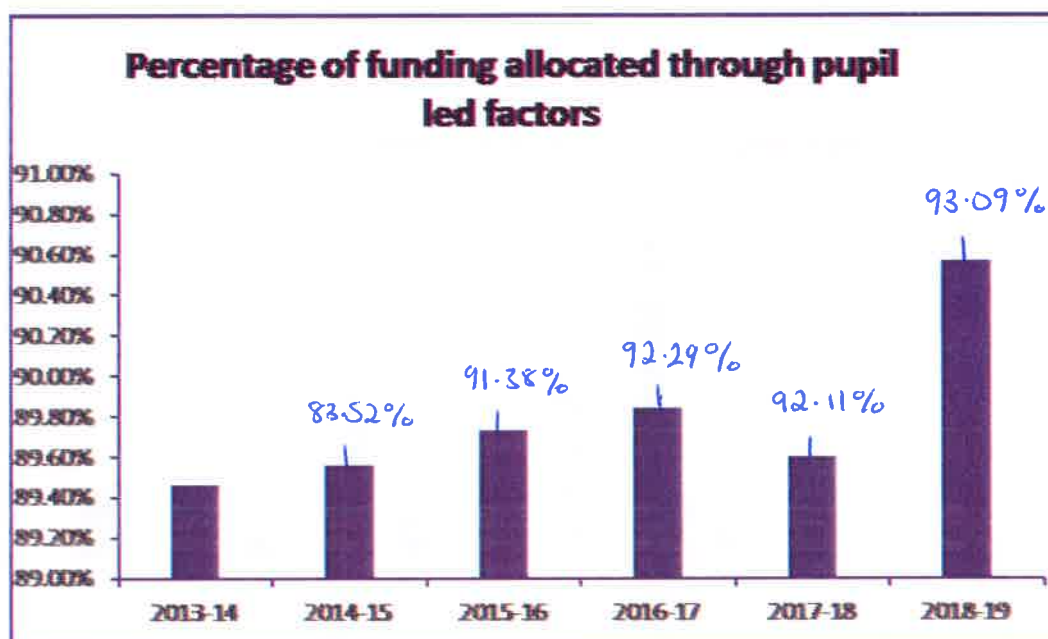


A requirement for the 2018-19 formulae is that across each local authority as a whole, a minimum of 80% of schools block funding must be allocated through these pupil-led factors. Note that the Isles of Scilly has only a single school, and does not formally receive DSG schools block funding in the same way as the other authorities, so the 80%

requirement, which is set out in the DSG conditions of grant, does not apply to them; they are the block on the chart above shown below the 80% level.

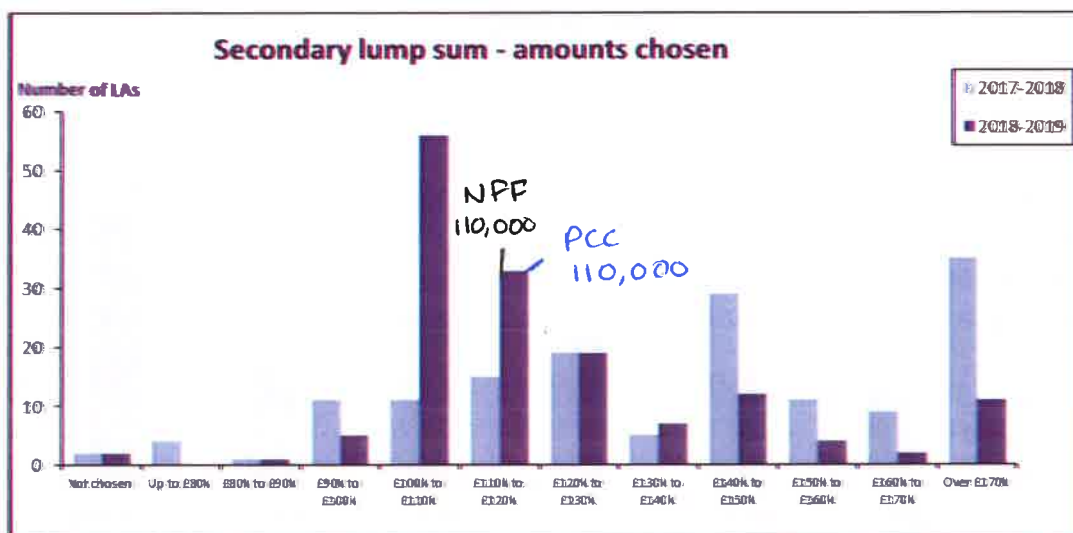
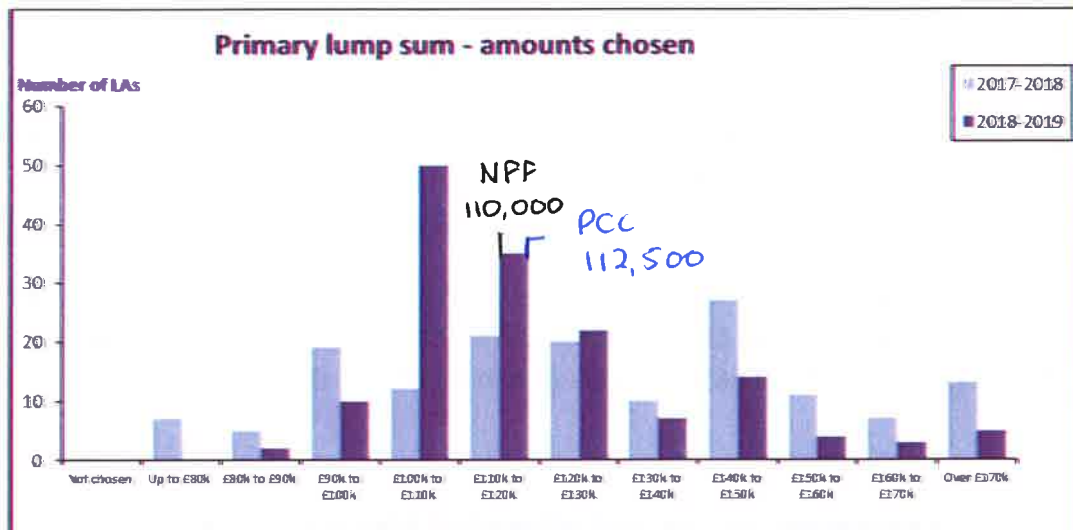
All other authorities are allocating more than 80% of their funding through a combination of the pupil-led factors, the lowest being 81.6%. In total 86% of authorities are allocating between 88% and 94% of their funding through these factors.

Across all authorities, a total of 90.57% of funding in 2018-19 formulae is being allocated through the pupil-led factors. This compares to 89.6% of funding in 2017-18, 89.84% in 2016-17, 89.73% in 2015-16, 89.56% in 2014-15 and 89.46% in 2013-14.



Lump sum

In the 2018-19 formulae, local authorities can use this factor to allocate a lump sum of the same amount to all schools, up to a maximum of £175,000. Separate lump sums can be specified for primary schools and secondary schools. All-through schools receive the lump sum specified for secondary schools. Middle schools receive a weighted combination of the two, based on the number of year groups of each phase present at the school. For a school which amalgamated during the 2017-18 financial year, authorities must allocate it additional lump sum funding, so that it receives 85% of the combined lump sums that its predecessors would have received under the 2018-19 formula.



Although this is an optional factor, like last year all local authorities have chosen to include it in their 2018-19 funding formulae⁴.

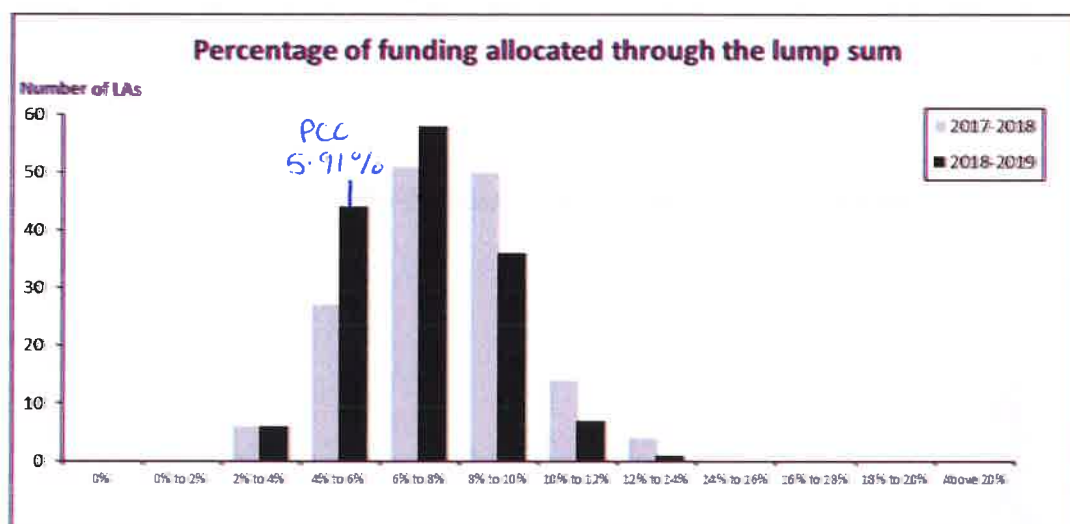
There has been a large shift in the distribution of the lump sum values used with most LAs choosing to use the NFF amount of £110,000 or a value close to it. However there is still substantial variation in the value of the lump sums selected for both primary and secondary schools. The range has narrowed to values between £85,000 and £175,000 in 2018-19 compared to value between £48,480 and £175,000 in 2017-18. The maximum value of £175,000 was chosen by 5 authorities for their primary lump sum amount and 10 for their secondary lump sum. This is compared to 13 authorities using the maximum primary lump sum and 33 the secondary maximum lump sum in 2017-18.

⁴ City of London and Haringey are the LAs represented by the "Not chosen" bar for 2018-19 secondary lump sum amounts.

There are 119 authorities that have selected equal primary and secondary lump sum amounts. Twenty two have selected a greater secondary lump sum than primary; and 11 authorities have selected a greater primary lump sum than secondary.

Note that in the lump sum - amounts chosen charts, lump sum choices of exactly a multiple of £10,000 are shown in the category for which that is the top of the band. For example the 2 local authorities with a primary lump sum of £140,000 are included in the “£130k to £140k” category.

Overall, local authorities are allocating a slightly lower proportion of their schools block funding through the lump sum factor than last year: 7.3% in 2018-19 compared to 8.1% in 2017-18.



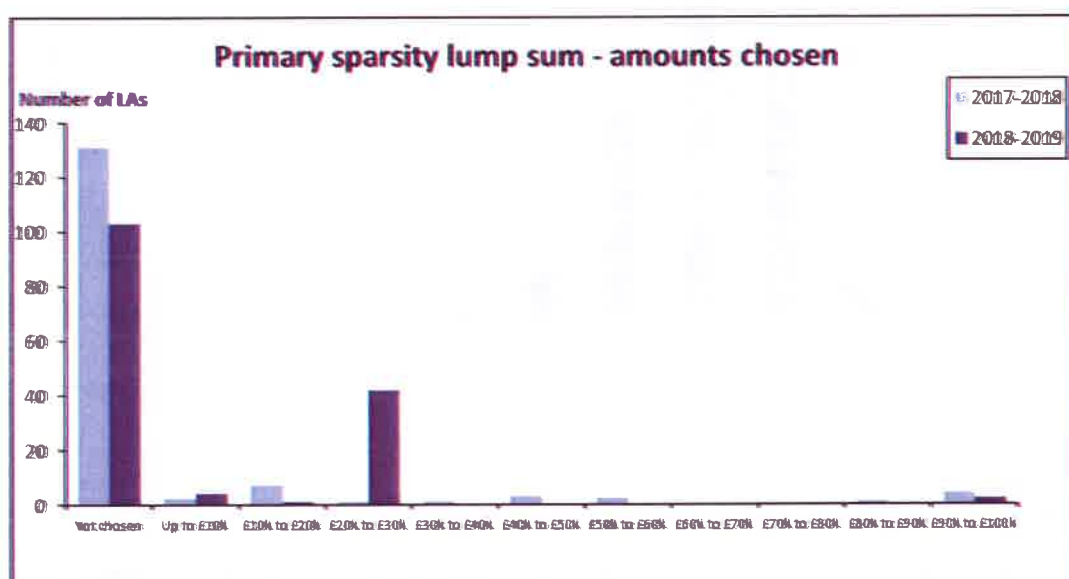
Sparsity

This factor was introduced into the funding formula arrangements in 2014-15. Whether a school is deemed to be sparse depends on two considerations: its “sparsity distance” and the average number of pupils per year group.

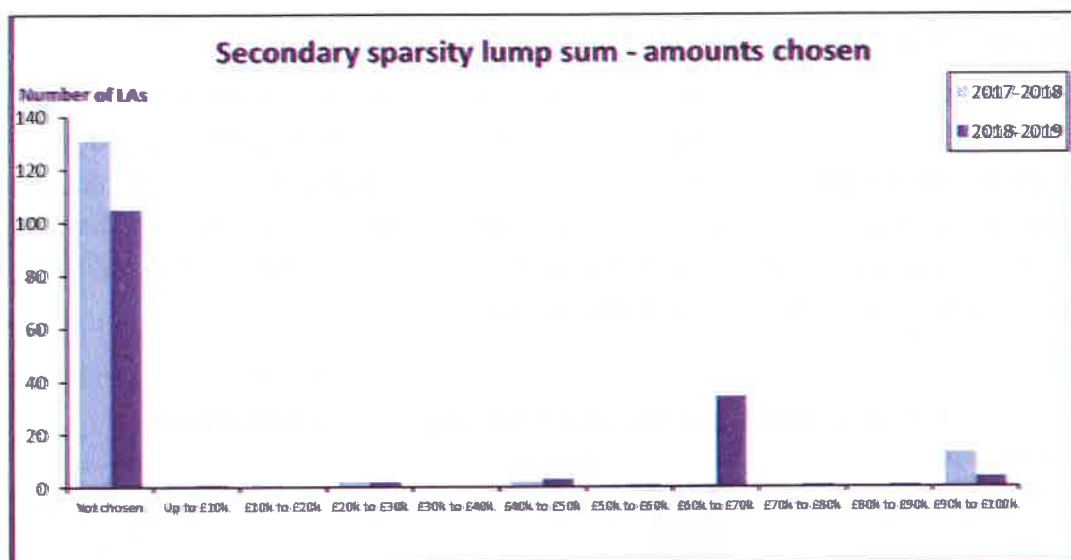
A school’s sparsity distance is derived from those pupils for whom it is their closest school (irrespective of whether they attend it). For all those pupils, the average distance to their second nearest school is calculated. Distances are calculated using the crow flies distance from a pupil’s postcode to a school’s postcode.

The sparsity factor may be applied to small schools where the average distance to pupils’ second nearest school is at least two miles (for primary schools, middle schools and all through schools) or three miles (for secondary schools). Schools must also have an average number of pupils per year group no larger than 21.4 pupils for primary schools, 120 pupils for secondary schools, 69.2 pupils for middle schools or 62.5 pupils for all-through schools. Local authorities can narrow the eligibility criteria for the factor, by increasing the average distance to the second nearest school and / or reducing the

average pupil number maximum thresholds, but they cannot widen the eligibility criteria. Local authorities can set different sparsity lump sum amounts for each of these four phases of school, up to a maximum of £100,000 per school. They can also choose in each case whether to apply a 'taper' so that the funding given to a sparse school depends on how many pupils they have (so that the smaller schools receive higher sparsity funding) or that all sparse schools receive the same specified sparsity lump sum. Additional sparsity funding of £50,000 can also be allocated to very small, sparse secondary schools. In 2018-19 authorities were also allowed to apply to use the rules set out in the [NFF technical note](#). These rules allow for a lump sum of up to £25,000 for primary schools and £65,000 for secondary schools, middle school and all-through schools. Where the school has fewer pupils than half the year group threshold a weighting is applied to the lump sum amount meaning affected schools only receive a portion of the lump sum.



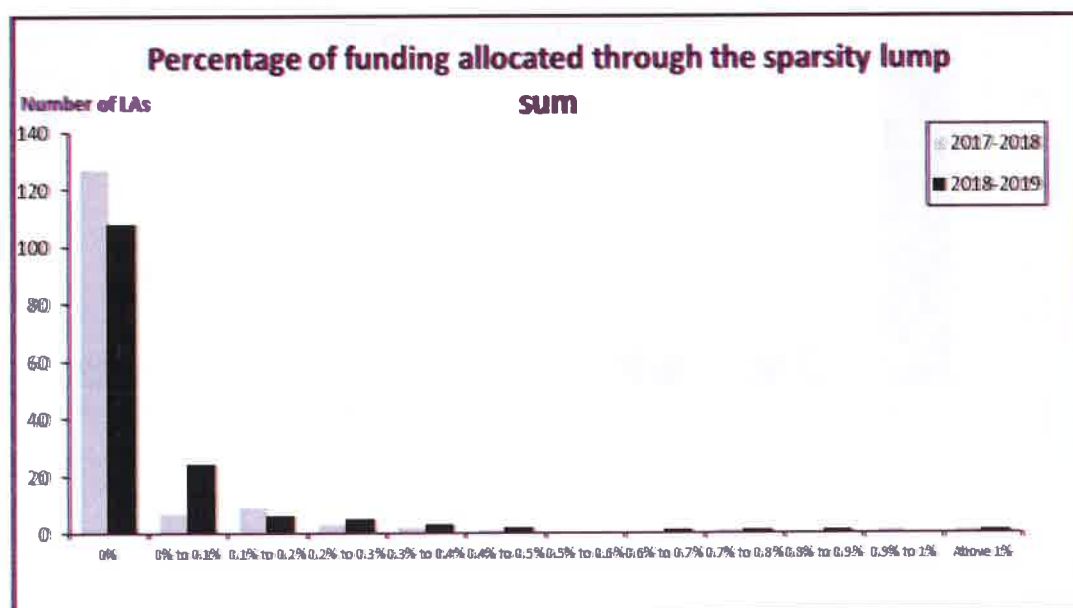
N/A



N/A

In 2018-19 50 authorities are using the sparsity factor compared to 25 in 2017-18. The **increase in authority's using this factor reflects a number of authorities using the NFF rates**. Many of those authorities not using the factor do not have any schools meeting the maximum permissible average year group size and minimum permissible distance thresholds for eligibility for funding through the factor, so do not have any sparse schools.

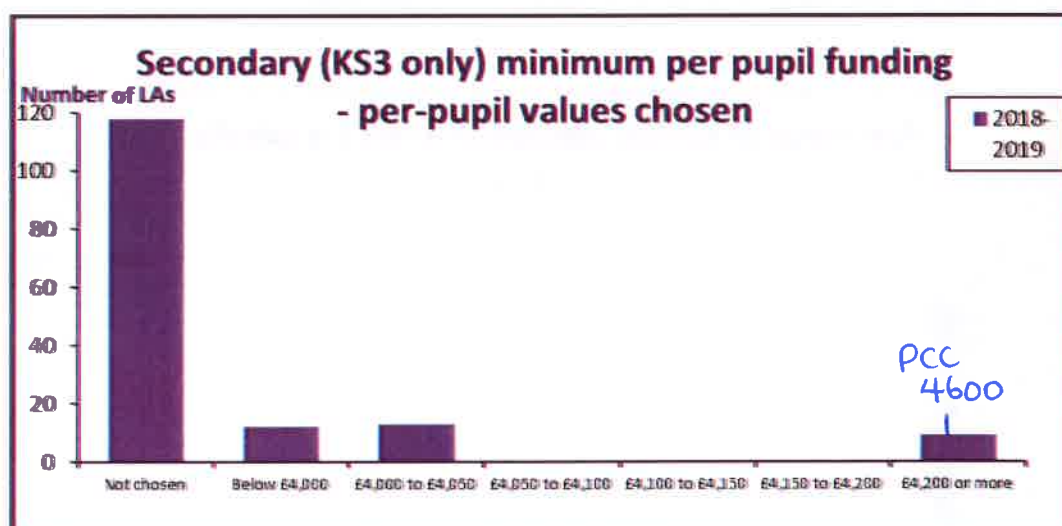
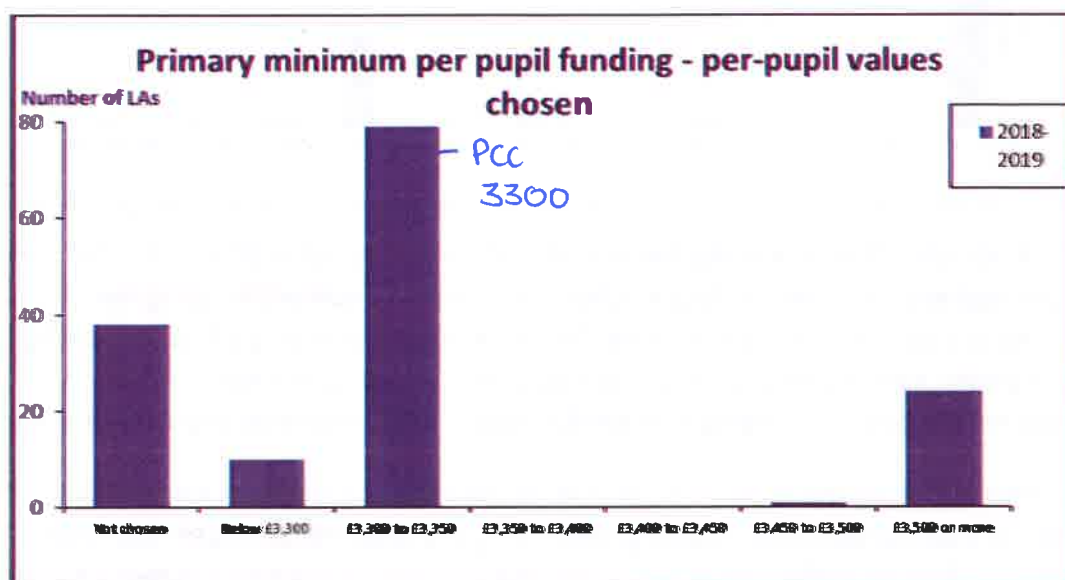
Of those that are using the factor, and excluding the Isles of Scilly (a notional 3.9%), the proportion of their schools block funding which they are allocating through this factor ranged from 0.01% to 0.86%. Across all authorities, 0.06% of funding has been allocated through this factor, compared to 0.05% in the 2017-18 formulae.

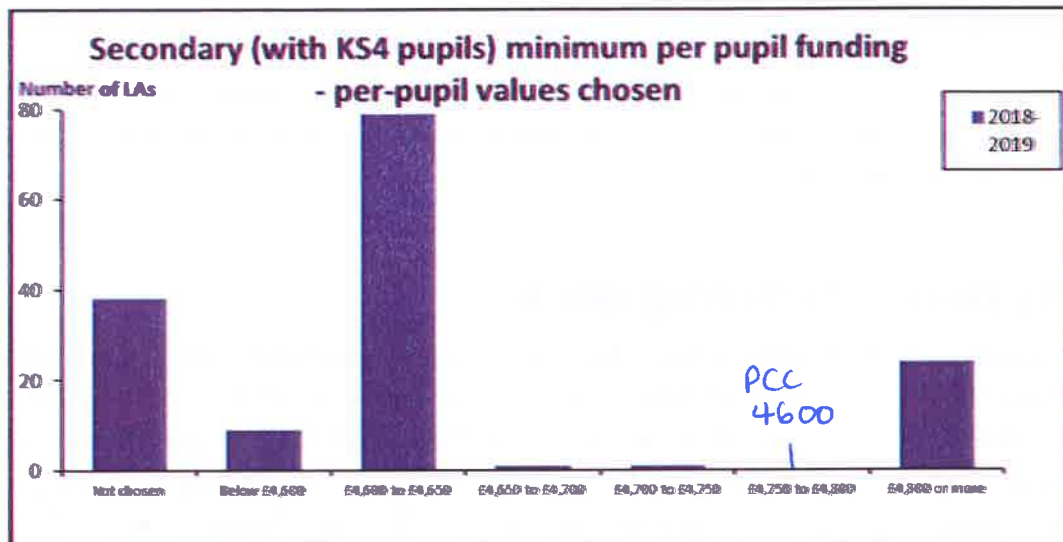


N/A

Guaranteed minimum per pupil level of funding

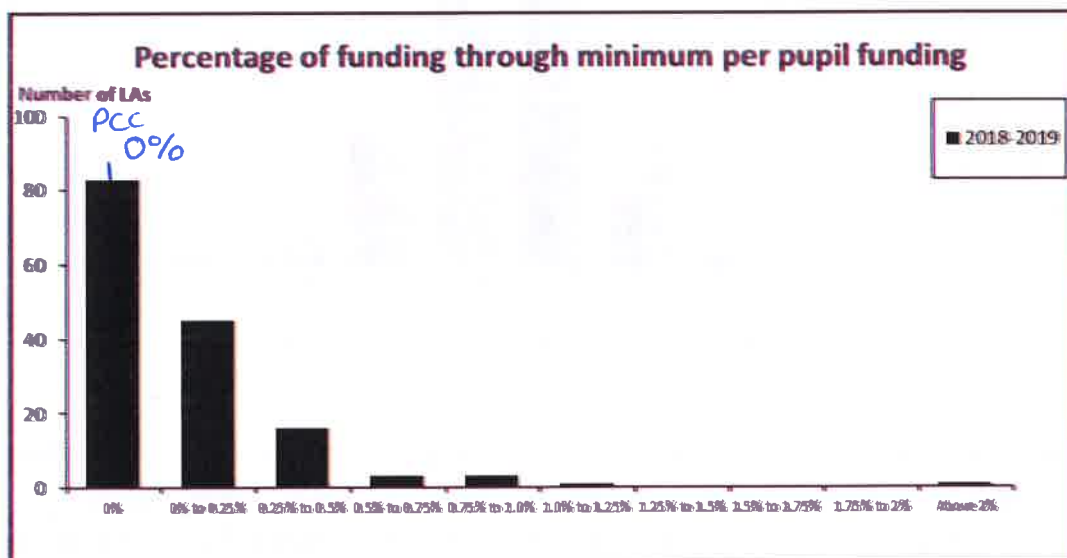
The national funding formula provides local authorities with a guaranteed minimum per-pupil funding of £3,300 for primary pupils and £4,800 for secondary pupils in 2018-19, based on the school's total core funding. In 2018-19 local authorities could use this factor in their local formulae for the first time. They were able to set minimum per pupil funding rates for primary and secondary pupils (for secondary pupils in middle schools with no key stage 4 pupils a KS3 only rate could also be set).





Of the 152 local authorities 114 used the factor in 2018-19 (although only 34 selected a rate for secondary schools with no key stage 4 pupils this is largely due to those local authorities having no qualifying middle schools).

Fifty-two percent of authorities used the 2018-19 NFF transitional primary per pupil rate of £3,300 and 52% of authorities also used the NFF transitional secondary per pupil rate of £4,600.



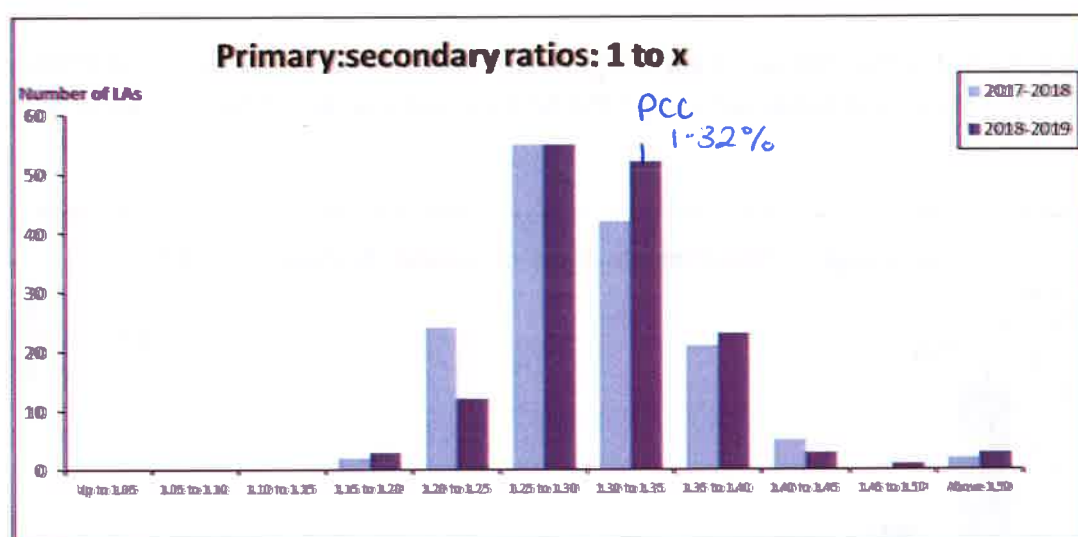
Although 114 authorities used the factor only 69 actually allocated funding through it. This is because all schools in the other 45 authorities were already receiving over the minimum level through the other funding factors. Only 2 authorities allocated more than 1% of their funding through the minimum per pupil level of funding.

Other formula factors

Information for each local authority on the formula factors not discussed in this note (London fringe, split sites, rates, PFI funding, and exceptional circumstances) can be found in the accompanying data file.

Primary:secondary funding ratios

Local authorities' 2018-19 schools block funding formulae have been used to calculate the relative differences in per-pupil funding allocated to secondary pupils compared to primary pupils. With the exception of the City of London, which has a single maintained primary school so does not have secondary pupils, the ratios of secondary to primary per-pupil funding under 2018-19 formulae are shown on the chart below. A ratio of 1 : 1.24, for instance, indicates that secondary-age pupils in a local authority receive, on average, 24% more funding per head than primary-age pupils.



The overall ratio nationally across all local authorities is 1 : 1.296, a slight increase from the 2017-18 formulae where it was 1 : 1.289. The average local authority ratio is 1 : 1.311, a slight increase on the ratio of 1 : 1.304 in 2017-18 formulae. For 42 authorities, their ratio in 2018-19 has decreased by more than 0.01 compared to last year, while for 60 authorities, their ratio has increased by more than 0.01. For the remaining 49 authorities, their ratio changed by less than 0.01 either way.

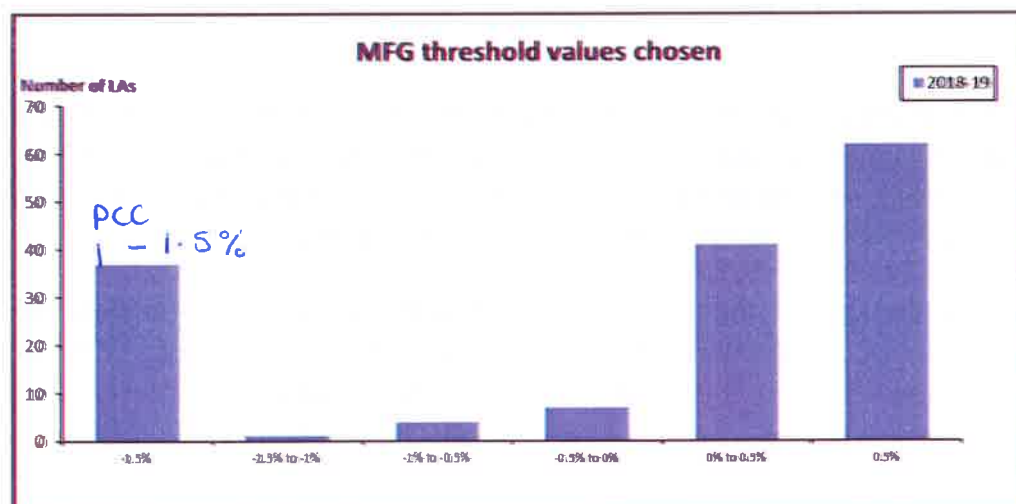
These ratios have been calculated for each local authority from the information they submitted to the ESFA as follows. The first step is to split funding for primary pupils and funding for secondary pupils. For the factors with separate primary and secondary indicators (for example, basic entitlement and deprivation), this split is simply the amount

of funding allocated through each type of indicator. For the other factors (with the exception of historic commitments for sixth form funding, which is excluded), the amount of funding allocated to each school in the local authority area is split between primary and secondary in proportion to the number of pupils in each phase at the school. These amounts are aggregated to estimate the total funding for primary pupils and the total funding for secondary pupils. These amounts are then divided, respectively, by the number of primary schools block-funded pupils on roll and the number of secondary schools block-funded pupils on roll in the authority. This gives per pupil funding amounts for primary and secondary phases, and the ratio of the two is taken.

This calculation excludes the effects on schools' funding of applying the minimum funding guarantee (MFG), and excludes any further capping or scaling factors applied by local authorities to ensure that the total funding allocated through their formulae is affordable within the total DSG schools block they have been allocated for financial year 2018-19. For academies, the calculation is based on the amount of schools block funding they would receive in 2018-19 if they were a maintained school.

Minimum funding guarantee

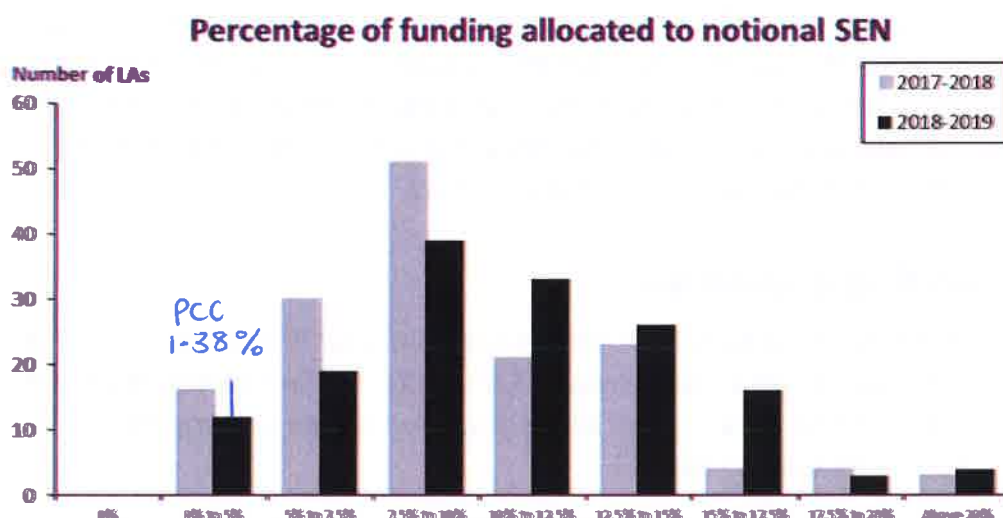
The MFG protects the per-pupil funding of schools from one year to the next. For 2018-19 authorities can choose to set a rate between -1.5% and 0.5% (in previous years the threshold was fixed at -1.5%). This change allows Local Authorities to mirror the 0.5% funding floor protection included in the NFF.



The chart above shows that 67.8% of authorities have chosen either zero or a positive MFG threshold meaning that no schools in those authorities will see a decrease in their per pupil level of funding in 2018-19. It also shows that 41% have selected a threshold of 0.5% mirroring the funding floor protection as described in the [NFF technical note](#).

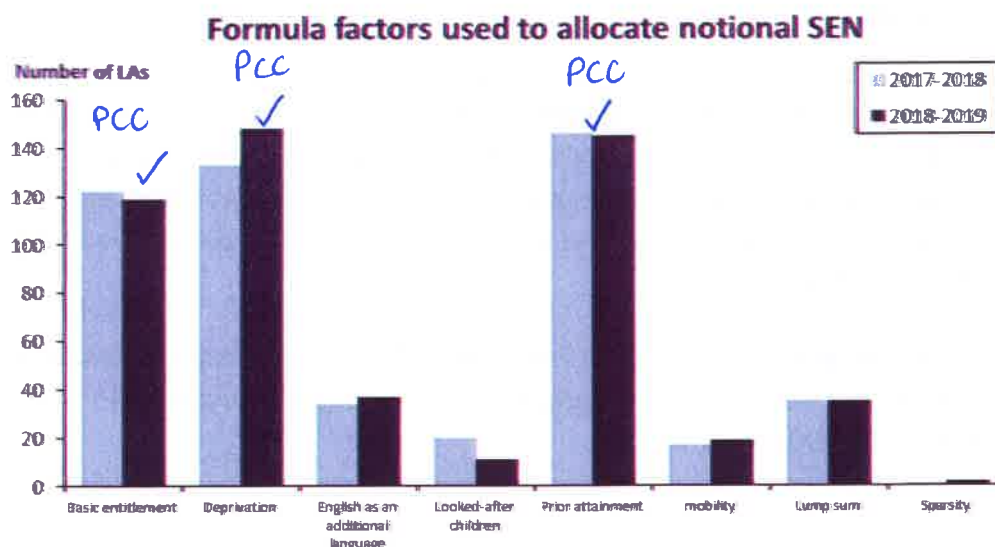
Notional SEN

Funding for notional special educational needs (notional SEN) is not a separate formula factor. Rather, local authorities must specify how much of the schools block funding a school receives through the formula constitutes its notional SEN budget. In their funding formulae for 2018-19, local authorities specify what percentage of funding allocated through each factor contributes to the notional SEN budget.



The chart above shows how, at overall local authority level, the notional SEN budget in 2018-19 varies as a percentage of the total schools block formula allocation (before the application of MFG, capping and scaling). Some 117 (77%) of authorities are allocating between 5% and 15% of schools block funding as notional SEN.

The overall percentage of formula allocation which is designated as the notional SEN budget across all local authorities is 11.1%, an increase from 9.8% in each of the years 2014-15 through to 2017-18. The median notional SEN allocation is 10.4%. However, as the chart shows, like last year there is a wide variation across local authorities.



The chart above shows the number of local authorities for which each factor is being used to determine schools' notional SEN budgets. In the 2018-19 formulae deprivation is the factor most commonly contributing to notional SEN with 148 authorities doing this.

The majority of authorities are also assigning a percentage of their basic entitlement and prior attainment funding into notional SEN. For the formula factors not displayed on the chart (such as split sites) only a few authorities are using these for notional SEN. Full details on the use of factors to calculate notional SEN in 2018-19 can be found in the accompanying data file.

Overall, the pattern of factors used to calculate notional SEN is similar to 2017-18 formulae.

Growth fund

Subject to the approval of their schools forum, local authorities are able to retain some of their schools block funding centrally (that is, rather than allocate it to their individual schools) for a growth fund. This can be used only for the purposes of supporting growth in pre-16 pupil numbers to meet basic need pressures, to support additional classes needed to meet the infant class size regulation, and to meet the costs of new schools. Authorities must use the fund on the same basis for the benefit of both maintained schools and academies in their area.

Some 129 of the 152 authorities are retaining a growth fund in 2018-19, compared to 132 doing this in their 2017-18 formulae. The total value of these growth funds is £186.3m. Growth fund amounts for individual authorities range from £35,000 to £10.9m.

Falling rolls fund

Local authorities were also able to retain funding centrally to support schools currently experiencing falling rolls to prepare for an expected future population bulge, again subject to the approval of their schools forum. The falling rolls fund should be restricted to population increases expected in two to three years in necessary schools which are classed by Ofsted as good or outstanding. The fund cannot be used by authorities to prop up unpopular or failing schools.

Only 27 authorities are retaining a falling rolls fund in their 2018-19 formulae (down from 28 in 2017-18), with a total value of £9m. Falling rolls fund amounts for individual authorities range from £50,000 to £1.8m.

Information about the data file

Alongside this document, the DfE has published a detailed data file in Microsoft Excel format showing the 2018-19 funding formula used by each local authority, as they stood at 23 March 2018.

“Proforma” sheet

The sheet entitled “Proforma” allows the full data for a single authority to be displayed on the screen. Click on the purple cell near the top of the page next to the LA Name label, then click on the drop-down arrow that appears alongside, to select a new local authority.

“Final MI data 1819” sheet

The sheet entitled “Final MI data 1819” gives the proforma data values for each authority in a large table. This section provides a description of all the columns displayed here.

Minimum level of per pupil funding

This section shows which local authorities have chosen to use the guaranteed minimum per pupil level of funding introduced in 2018-19. The section includes details of the rates applied to each of the year groups as well as details of whether mobility and premises funding has been excluded from the allocation when calculating if additional funding is due under the factor.

Reception Uplift

The “Reception Uplift” column indicates which local authorities have opted to increase the count of primary pupils to which the basic entitlement primary indicator applies, to include pupils with deferred entry into reception later in the year. The other column in this section indicates the number of pupils this applies to.

Basic entitlement

This section shows the per-pupil funding amounts local authorities have chosen for the primary and secondary indicators in their 2018-19 formulae; the number of pupils in mainstream maintained schools and academies in the authority as a whole to which each indicator applies; the total amount of schools block funding allocated to maintained schools and academies through each factor; the proportion of schools block funding allocated through each factor; and the proportion of the factor’s funding which contributes towards notional SEN budgets.

Deprivation, looked-after children, prior attainment, English as an additional language, mobility

These sections also show the per-pupil amounts chosen, the number of pupils, the total/proportion of funding allocated to schools through each factor, and contribution to notional SEN budgets. For the indicators where local authorities had a choice as to which specific measure to use for their formulae, columns indicate the selection. **Explanations for the entries in these columns are given below. For each, the entry "N/A" means that a local authority has chosen not to use a particular factor or indicator.**

English as an additional language – Primary (1/2/3/NA), Secondary (1/2/3/NA):

- EAL 1 Primary / EAL 1 Secondary: Indicator used is the number of pupils with EAL who entered the compulsory school system in the last year.
- EAL 2 Primary / EAL 2 Secondary: Indicator used is the number of pupils with EAL who entered the compulsory school system in either of the last 2 years.
- EAL 3 Primary / EAL 3 Secondary: Indicator used is the number of pupils with EAL who entered the compulsory school system in any of the last 3 years.

Prior attainment – Primary Low Attainment (73/78/NA):

- Low Attainment % old FSP 73: Indicator used is the number pupils in year 6 who did not achieve 73 points or more in the old early years foundation stage profile.
- Low Attainment % old FSP 78: Indicator used is the number pupils in year 6 who did not achieve 78 points or more in the old early years foundation stage profile.

Lump sum

Lump sum funding is shown in two places in the data file. Most funding through the lump sum factor is shown in the group of **columns entitled "Lump sum"**. **However there is also a small amount of lump sum funding displayed in the "Exceptional circumstances" section, in columns 2 to 5 of this group (all of which have a column title "Additional lump sum...").** **The data here relates specifically to additional lump sum funding which authorities are allocating to schools which amalgamated during the 2017-18 financial year.** As explained previously, authorities must allocate such schools additional lump sum funding, so that they receive 85% of the combined lump sums of its predecessors. Authorities could also apply to continue protection for schools which amalgamated during the 2016-17 financial year. The data are presented in this way because authorities recorded any additional lump sum funding for previous year amalgamations in a different section of their formula submission.

Therefore the total amount of funding that each authority is allocating through the lump sum factor is **obtained by summing the values in the "Lump Sum total" and "Additional lump sum total" columns.** Similarly, the proportion allocated through the lump sum factor

is obtained by summing the values in the "Lump Sum proportion" and "Additional lump sum proportion" columns.

Sparsity

Sparsity funding is also shown in two places in the data file. Most funding through the **sparsity factor is shown in the group of columns entitled "Sparsity". However there is also a small amount of sparsity funding displayed in the "Exceptional circumstances" section, in the group of three columns (headed "Additional sparsity lump sum...") following the additional lump sum data.** The data here relates specifically to additional sparsity funding which authorities are allocating to very small, sparse secondary schools.

(London) fringe payments, split sites, rates, PFI funding, sixth form, exceptional circumstances

These sections of the data file show the total funding and proportions of funding allocated to schools through each factor.

Schools block

The **"Total Funding Schools Block Formula Excl MFG Funding Total (£)" column gives the total amount of money allocated to mainstream maintained schools and academies in 2018-19 under local authorities' basic funding formulae.** This section also includes any additional funding allocated through the guaranteed minimum per pupil level of funding.

Minimum funding guarantee

The MFG protects the per-pupil funding of schools from one year to the next and for 2018-19 authorities can choose to set a rate between -1.5% and 0.5%. The column **"Minimum Funding Guarantee (£)" is the total funding authorities are allocating to their schools, over and above the amounts derived through their basic formula, to ensure this condition is met.**

In addition, local authorities are allowed to set capping and scaling factors to ensure that the amount of funding allocated through their formula (and including any additional funding to ensure the MFG is met) fits within the total DSG schools block available to them. Any change in the per-pupil funding amount in 2018-19 compared to 2017-18 for an individual school can be capped at a level specified by the local authority: these caps **are given in the column "Capping Factor". Any school which sees its per-pupil funding increase by more than the level of the cap will see any additional increase scaled back, to some extent (see next paragraph).** For example, in this column a 0% cap means that the local authority will start scaling back any increase in per-pupil funding. A capping factor of 2% means that any rise in per-pupil funding of more than 2% will be scaled back. Where a local authority has set an MFG rate greater than zero then where a cap is applied it is

calculated from the MFG value (so if the authority chooses an MFG rate of 0.5% and a cap of 2.5% then gains exceeding 3% will be capped).

The column “Scaling Factor” indicates the amounts by which schools’ increases in per pupil funding over the level of the cap will be reduced. So, for example, a 100% scaling factor means that ALL increases in per-pupil funding above the level of the cap will be removed – in other words the cap is a strict limit on the increase in per-pupil funding in 2018-19 compared to 2017-18. Similarly, a 50% scaling factor means that schools will lose half of any per-pupil funding increase above the level of the cap. Authorities showing **0% values in both the “Capping Factor” column and the “Scaling Factor” column are not** restricting per-pupil increases compared to 2017-18 in order to stay within their available funding.

The “Total deduction if capping and scaling factors are applied (£)” column shows the total amounts that have been taken off school budgets due to the application of the capping and scaling factors. Clearly, any school requiring additional funding in addition to that **specified by a local authority’s basic formula in order to meet the MFG will not also** be subject to capping and scaling reductions. Any entry of zero in this column means that capping and scaling has not led to any deductions in funding compared to the basic formula for any schools in the local authority area.

Totals

The “Total Funding for Schools Block Formula (£)” column shows the total schools block funding allocated to mainstream maintained schools and academies in each local authority under their 2018-19 formulae, after additions for MFG funding and deductions from capping and scaling. The total funding figure is higher than the total schools block formula funding plus the net MFG total as it also includes any adjustments made to schools 2017-18 budgets in 2018-19 not included in this publication. Note that the totals will not exactly match the total DSG schools block funding for 2018-19 that has been allocated to each local authority. This is for a number of reasons. The funding formulae specify the funding allocated to individual schools, and so exclude authority level allocations such as the growth fund and falling rolls fund, which are shown in the correspondingly named columns. In addition to this in some cases local authorities can move funding to the high needs block and the funding formulae will reflect any brought forward over- and under-spends, and authorities supplementing DSG from other funding sources.

For the other columns in this section:

- % Distributed through Basic Entitlement – the proportion of schools block funding being allocated through the basic entitlement factor in each local authority, prior to MFG and capping and scaling.
- % Pupil Led Funding – the proportion of schools block funding being allocated through the pupil-led factors (i.e. basic entitlement, deprivation, looked-after

children, prior attainment, English as an additional language, and mobility), prior to MFG and capping and scaling.

- Primary/Secondary Ratio – **the local authority's primary:secondary funding ratio**; a figure of 1.24, for example, denotes a ratio of 1 : 1.24, meaning that secondary age pupils in a local authority receive, on average, 24% more funding per head than primary-age pupils.



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