

Swindon Borough Council

Schools Forum

Tuesday, 18 October 2016

Committee Room 6, Civic Offices at 4.00 p.m.

School Members:

Janet Urban, Chair - Primary Headteacher
Jackie Smith, Vice-Chair - Special Headteacher
Rhian Cockwell, Primary Headteacher
James Povoas, Academy Headteacher
Andrew Henstridge, Primary Headteacher
Ray Williams, Primary Governor
Lauren Costello, Academy Headteacher
Wendy Conaghan, Academy Headteacher
Ben Slater, EOTAS
Alison Lowe, Primary Headteacher
Sandra Muir, Swindon Association of Secondary Heads
Charles Law, Special Governor
Sue Banks, Secondary Headteacher
Jane Wheatley, Primary Headteacher
TBC, Secondary Governor

Non-School Members:

Kate Adams, Early Years Representative
Andrew Wild, Diocese - Bristol
Ruth Lee, Diocese of Clifton
Peter Smith, Trade Unions
Andrew Miller, 16-19 Partnership
Graham Taylor, 16-19 Partnership
Ram Thiagarajah, BME

Observer Status

Owen Jenkins, Education Funding Agency

Committee Officer: Rita Glen-Gallo

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Swindon Borough Council can be contacted at the Civic Offices, Euclid Street, Swindon, SN1 2JH (Telephone 01793 445500)

AGENDA

1. **Apologies for Absence**
2. **Minutes of Previous Meeting** (Pages 3 - 8)
To receive the minutes of the meeting held on 12th July 2016.

3. Public Question Time

See explanatory note below. Please phone the Committee Officer whose name and number appears at the top of this agenda if you need further guidance.

Members have previously agreed that public questions were to be submitted in writing at least 24 hours prior to a meeting to enable officers to provide a detailed response.

4. Schools Forum Membership (Pages 9 - 28)

5. Education Funding Agency Funding Changes for Post 16 (Education Other Than At School) Pupils (Pages 29 - 32)

6. Post 16 High Needs Funding Update (Pages 33 - 38)

7. 2016-17 Dedicated Schools Grant Budget Position (Pages 39 - 54)

8. Monitoring School Balances (Pages 55 - 76)

9. Schools Financial Value Standard (SFVS) (Pages 77 - 86)

10. 2016/17 DSG Budget and Forward Look (Pages 87 - 148)

Date of Despatch: 10 October 2016

Public Question Time - Swindon Borough Council remains committed to increasing its accountability to the public and to promoting active citizenship. 15 minutes will be allowed at the start of all Council meetings for questions to the Chair from the public about the work of the Committee (except for confidential matters, and matters relating to planning and licensing applications). We will give priority to those who submit questions in writing at least two days before the meeting. Questions must be relevant, clear, and concise. You may not use Public Question Time as an opportunity to make speeches or statements.

Questions in writing should be sent to the Committee Officer whose contact details appear on the agenda above or to the Director of Law and Democratic Services, we will publish it, along with the answer, alongside the Minutes. The process associated with asking a public question is set out in the "Public Question Time at Council Meetings Protocol and Guidance" available on the Council's Website.

(<http://ww5.swindon.gov.uk/moderngov/ecCatDisplay.aspx?sch=doc&cat=13338&path=0>) or from the Committee Officer named above.

At the meeting held on 21st January 2015, Schools Forum members agreed that public questions were to be submitted in writing at least 24 hours prior to a meeting to enable officers to provide a detailed report (Minute 22 refers).

Access Arrangements – The Venue is wheelchair accessible and an infrared receiver hearing system is provided. If you would wish to attend the meeting but have any special requirement to enable you to do so please contact the Committee Clerk above, as soon as possible prior to the date of the meeting.

If you would like to receive any of the pages contained in this agenda in a larger print size please contact the Committee Officer whose name appears on the first page of this agenda.

SCHOOLS FORUM

TUESDAY, 12 JULY 2016

PRESENT: -

School Members: Janet Urban, Chair - Primary Headteacher
Jackie Smith, Vice Chair - Special Headteacher
Ray Williams, Primary Governor
Ben Slater, EOTAS
Sue Banks, Secondary Headteacher
James Povoas - Academy Headteacher
Clive Zimmerman – Academy Headteacher

Non-School Members: Kate Adams, Early Years Representative

Officers: Ian Burbidge (Head of Finance, Schools)
Anne Mackay (Finance Manager, Education)
Peter Nathan (Head of Education)

Also Present: Councillor Fionuala Foley, Cabinet Member for Children's Services and Karen Reeve (Director of Children's Services).

Apologies for absence were received from Wendy Conaghan (Academy Headteacher), Andrew Miller (16-19 Partnership), Peter Smith (Trade Unions) and Charles Law (Special Governor).

1. Appointment of Chair

Resolved – That Janet Urban (Primary Headteacher) be Chair of the Schools Forum for the Municipal Year 2016/17.

2. Appointment of Vice-Chair

Resolved – That Jackie Smith be Vice Chair of the Schools Forum for the Municipal Year 2016/17.

3. Minutes of Previous Meeting

Resolved: That the minutes of the meeting held on 15th March 2016 be confirmed and signed as a correct record.

On behalf of the School Forum, the Chair offered congratulations to Jackie Smith on receiving the MBE (Member of the Most Excellent Order of the British Empire) award.

4. Public Question Time

The following question was asked in accordance with standing Order 28 –

Mr Alastair Dixon-Patterson, Lydiard Park Academy, asked questions regarding the Minimum Funding Guarantee, responses he had received to previous questions on that subject and the budget for next year and reasons for the projected underspend against Dedicated Schools Grant for 2016/17.

The Chair thanked Mr Dixon-Patterson for his questions. Mr Peter Nathan, Head of Education responded at the meeting.

5. Final Dedicated Schools Grant Outturn 2015-16

Mrs Anne Mackay, Finance Manager, Education, presented a report regarding the final position of the 2015/16 retained Dedicated Schools Grant (DSG) budget following closure of the Local Authorities 2015/16 final accounts. The report provided information on the final spend against the 2015/16 centrally retained budget including commentaries on those areas of the budget where forecast figures proved to be inaccurate.

Mrs Mackay referred to the update presented to the Forum in March 2016 advising that the anticipated overspend would be £0.839m. She explained that due to pressures which related to the revised census numbers for 2 year olds and 3 and 4 year olds, the overspend increased. The Forum noted that these figures were lower than anticipated and this affected funding and expenditure for participation.

Resolved: That it be noted that:

(a) That the final outturn on the 2015/16 centrally retained DSG budget was an in-year overspend of £0.889m.

(b) That after taking account of the brought forward balance, in-year underspend and allocations of funding previously agreed by the Schools Forum, the total DSG balance available for redistribution as at 31st March 2016 was £0.209m.

6. 2016-17 Dedicated Schools Grant Budget Position

Mrs Anne Mackay, Finance Manager, submitted a report advising the Forum on the latest projected 2016/17 Dedicated Schools Grant (DSG) retained budget position.

Mrs Mackay advised that, based on information at the end of May 2016, an underspend of £0.359m was projected against the retained DSG Budget for the current financial year. She confirmed that the DSG figures were submitted monthly to the Corporate Management Team and presented at Cabinet. She drew attention to the £0.568m unallocated DSG balance and explained that this had resulted due to the adjustment undertaken following the lower than expected figures of 2 year old and 3 and 4 year old funding and the High Needs Contingency forecast.

In response to a query regarding the underspend being returned to schools, Mr Burbidge, Head of Finance, Schools, confirmed that the position would be considered but pointed out that the final year end figure would not be available when setting out the 2017/18 budget and that the underspend could only be used to finance one off projects for schools which were of benefit to Swindon pupils. He confirmed that these decisions would be submitted to the Forum for consideration as and when they arise. Mr Burbidge further referred to future funding pressures, particularly resulting from the Fair Funding consultation exercise and explained that a financial balance was sought when setting budgets.

Resolved: That it be noted that:

(a) The latest projection on the 2016/17 retained budget was an underspend of £0.359m.

(b) The unallocated DSG balance will increase to £0.568.

7. 2016-17 Dedicated Schools Grant Budget and Forward Look

The Forum considered a report by Mr Ian Burbidge, Head of Finance, Schools, that included information on the latest position of the 2016/17 Dedicated Schools Grant (DSG) settlements and budget. He explained that following the Forum's meeting on 12th January 2016, the report addressed (a) an update on the Early Years 30 hours implementation and its implications, (b) an update on the pupil growth & trigger funding policy, (c) the additional trigger and growth funding for 2016/17, (d) the potential future growth places and costs, (e) an update on the notional Special Educational Needs top-up funding, (f) the tuition service review, (g) the new Special Schools Primary provision, (h) the potential free school bids affecting Swindon, (i) the impact of the apprenticeship levy on schools in Swindon, and (j) the review to be undertaken of the Financial Regulations applicable to maintained schools.

Mr Burbidge and Mr Peter Nathan, Head of Education responded to members' queries regarding:

- The differential pre-opening start-up funding allocation between the various school sectors. Members noted that pre-opening set-up costs would be reviewed following the opening of Crowdy's Hill School.
- A member of the Forum advised that expenditure on pupil growth funding for secondary schools could be avoided as there were currently places available in some secondary schools.
- The anticipated financial impact of the increase of SENRAP provision relating to the increase in Early Years provision from 15 hours to 30 hours from 2017.
- Acknowledgment that quality assurance was an important element when reviewing future provision by the Tuition Services.
- The number of Free School bids received, progress made on the applications, reference to one form entry schools and the effect on schools if any of the bids were unsuccessful.

Resolved: That the School Forum notes:

(a) The current arrangement for the 30 hours Early Years implementation.

(b) The forecasts of required pupil growth funding that will need to be considered as part of future budget setting processes.

(c) That officers have reviewed Notional SEN funding in other local authorities.

(d) That officers will recommend that subject to modelling results all mainstream High Needs funded pupils will be included in future calculations and some element of AWPU (age weighted pupil unit) funding will be taken into account when calculating the Notional SEN budget.

(e) That officers will consult with the various Associations and present modelling outcomes for discussion at the October 2016 meeting of the Forum.

(f) The current state of the Tuition Service review.

(g) That the Local Authority intends to open a new specialist primary provision at Crowdy's Hill Special School from September 2016.

(h) That Swindon has been selected to implement the 30 hours of Early Years provision.

(i) The current status of the free school bids that have been submitted to the Education Funding Agency to provide new free schools in Swindon.

(j) The potential impact of the apprenticeship levy on schools in Swindon.

(k) That the Local Authority will undertake a review of the Financial Regulations applicable to maintained schools.

(l) That Members be requested to cascade information on the apprenticeship levy on schools to all the School Associations.

(m) That the School Forum approves the growth and trigger funding policy as detailed at 3.17 of the report.

(n) That the School Forum notes the trigger funding budget will overspend by £115k as result of the need for additional reception places in North Swindon.

8. Post 16 High Needs Funding Update

Mrs Lyn Frith, Education Commissioner, submitted a report updating the Forum on the level of funding available and the proposed funding allocations for 2016/17 for post 16 high need students that included students attending further education colleges, independent specialist college and other training providers.

Mr Ian Burbidge, the Head of Finance, Education, and Mr Peter Nathan, Head of Education commented on the various issues that influence funding allocations and responded to members' queries regarding:

- Figures that would be amended following confirmation that the Specialist Post 16 Institutions (SPI) now commissioned 41 places for September 2016.
- The need to review the indicative banding values if further SPI places were acquired.
- Recognition that this would have an impact on the overall budget.
- The confirmation that Element 2 funding would be paid on a lagged basis directly by the Education Funding Agency.

Resolved: That it be noted that:

(a) The Local Authority's latest estimate was that a total of 367 FTE post 16 (excluding sixth form) high needs students will need to be financed during the 2016/17 academic year.

(b) Members agreed the 2016/17 indicative banding values as shown in Table 2 of the report.

(c) Further to (b) above, these will be reviewed if there was significant variance due to actual take up of places and an update presented to the October 2016 meeting of the Forum.

(d) The estimated annual net costs of 40 places at Specialist Post 16 Institutions was £0.460m and will be charged to the 2016/17 financial year budget.

(e) The annual allocations for Further Education College and Training Providers totalling £1.345m will be charged to the 2016/17 financial year.

(f) A contingency budget of £0.193m for 65 identified high needs students with no confirmed destination in the financial year.

(g) The overall financial year and academic year budget position as shown in Table 2 of the report.

(h) The Head of Finance, Education, be requested to circulate information regarding the provision of Element 2 funding.

9.

Any Other Business

The Chair advised members that David Bell, Chair of Governors at Doran School had resigned from the Forum. On behalf of the Forum, she thanked Mr Bell for all his hard work on behalf of the Forum and wished him all the best for the future.

10.

Date of next meeting

Meetings of the Forum are scheduled for the remainder of 2016/17 as follows:

- 18th October 2016, 4.00 p.m. in Committee Room 6.
- 17th January 2017, 4.00 p.m. in Committee Room 6.
- 28th March 2017, 4.00 p.m. in Committee Room 6.

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Schools Forum Membership Update

Schools Forum

Date: 18th October 2016

Author: Head of Education

Wards: All

Locality Affected: All

Parishes Affected: All

1. Purpose and Reasons

- 1.1. The Local Authority has conducted a review of Schools Forum to ensure that the current membership is appropriate in the light of the evolving balance of schools in Swindon and with regards to the 2002 Education Act, Schools Forum (England) regulations 2012 and Schools Forum Operational and Good Practice Guide 2015.
- 1.2. Following the review, this report has been submitted to enable the Forum to discuss the revised membership structure and revised Terms of Reference for Schools Forum. These are outlined below.

2. Recommendations

The Schools Forum is asked to recommend to the Council that:

- 2.1. The maintained school members within each group are drawn from headteachers, senior members of staff and governors (para. 3.8).
- 2.2. The number of mainstream Schools Forum members remains at 12 (21 Schools Forum members in total) (para. 3.15)
- 2.3. The vacant maintained secondary governor position is deleted (para. 3.15)

That one extra member is elected to represent mainstream academies, to be elected at a later date by the proprietors of mainstream Swindon Academies (para. 3.16)
- 2.4. The Proposed membership structure and representatives of Schools Forum at Appendix 1 (para. 3.19).
- 2.5. The Terms of Reference for Schools Forum be revised as set out in Appendix 2 (para. 3.34).
- 2.6. Note there is currently a vacancy for a representative of Special Academies and the proprietor of the special academy is requested to seek a representative for Schools Forum (para. 3.27).

Schools Forum Membership Update

Schools Forum

Date: 18th October 2016

3. Detail

- 3.1. Section 43 of the 2002 Education Act required Local Authorities to establish a Schools Forum to represent its schools.
- 3.2. Schools Forum were put in place to support local authorities on matters relating to school budgets and therefore play an important part in the local decision-making process.
- 3.3. Each local authority must ensure that the Schools Forum for its area is constituted in accordance with regulations promulgated by the Education Funding Agency. The local Authority is responsible for determining the size of membership and terms of office of the Schools Forum.
- 3.4. The existing representation of the Forum was last considered at the Schools Forum meeting held on 8th July 2014 (Minute 2, 2014/15 refers).
- 3.5. As part of the regular committee process a review of the Schools Forum constitution has been undertaken, this report has been submitted to enable the Forum to discuss the findings of this review.
- 3.6. Section 1 of the Regulations defines the meaning of 'school' for the purpose of regulations as being a maintained school. Therefore the only persons who can be part of the school members group are persons from a maintained school. The schools forum guidance at paragraph 3 confirms this when it states 'school members represent specified phases of types of maintained schools within the area'. The Governors group of the Swindon Schools Forum is a subgroup of the school members group and therefore can only comprise of members from maintained schools and can only be elected by maintained schools.
- 3.7. Section 2 of the Schools Forum regulations requires that Schools Forums have three types of groups. These are:
 - 3.7.1. School Members (maintained schools) elected by members of that group
 - 3.7.2. Academy members elected by Academy proprietors
 - 3.7.3. Non-schools members

Current Schools Forum membership

- 3.8. The local authority has the discretion to divide the School Member groups (maintained schools) into one or more sub-groups. The local authority propose that the members within each group are representatives drawn from headteachers, senior members of staff and governors within each group instead of separate headteacher and governor sub-groups due to the expansion of academies.

Schools Forum Membership Update

Schools Forum

Date: 18th October 2016

Members of the Schools Forum are asked to recommend to the Council:

- **That the local authority propose that the members within each School Members group are drawn from headteachers, senior members of staff and governors**

- 3.9. The maintained schools members can include governors in each group (i.e. Primary, Secondary and Special), these representatives can only lawfully be filled by a governor of a maintained school as set out in schools forums (England) regulations 2012 and guidance.
- 3.10. Schools and academy members together must comprise at least two thirds of the total membership of schools forum and the balance between maintained primary, maintained secondary and academy mainstream members must be broadly proportionate to the number of pupils in each category, so the structure of Forum should be regularly reviewed, i.e. annually.
- 3.11. As at the October 2015 school census there were 29,826 mainstream pupils and the proportion of current members representing the mainstream sector has been reviewed to ensure that the representation is broadly proportionate.
- 3.12. Officers have carried out a review to ensure that the Schools Forum mainstream representation is broadly proportionate to the number of mainstream pupils between maintained primary, maintained secondary and academy pupils. Table 1 below shows the numbers of pupils and proportion in each sector.
- 3.13. There is one maintained secondary school and therefore there has to be a minimum of one school member representing this group.
- 3.14. The review has indicated that the mainstream academy pupil proportion is 62% but of the current Schools Forum the proportion of members representing mainstream academies is 50%. See Table 1 below.

Table 1 – Schools Forum Mainstream Members	Total	Maintained Schools		Mainstream Academy
		Primary	Secondary	Total
Pupils Oct 15 census	29,826	10,246	1,079	18,501
Proportion of pupils	100%	34.4%	3.6%	62.0%
Current Schools Forum Members	12	4	2	6
Current proportion of Members	100%	33.3%	16.7%	50.0%
Proposed Schools Forum Members	12	4	1	7
Proposed proportion of Members	100%	33.3%	8.3%	58.3%

Schools Forum Membership Update

Schools Forum

Date: 18th October 2016

- 3.15. Therefore it is proposed that the number of mainstream Schools Forum Members remains at 12 and the vacant maintained secondary governor position is deleted to ensure that there is only one representative from the maintained secondary sector as there is only one maintained secondary school.
- 3.16. It is proposed that an extra member to represent mainstream academies is elected by the mainstream Academy proprietors at a later date.
- 3.17. It is for the proprietors of academies within each of the academy sub-groups to elect their representatives. It is not appropriate, therefore, for Headteacher phase groups to determine representation unless the academy proprietors have agreed and even then the voting would need to exclude maintained school representatives.

Members of the Schools Forum are now asked to recommend to the Council :

- That the number of mainstream members remains at 12 (21 Schools Forum members in total) (para. 3.15)
- That the vacant maintained secondary governor position is deleted (para. 3.15)
- That an extra member is elected to represent mainstream academies, to be elected at a later date by the proprietors of mainstream Swindon Academies (para. 3.16)

- 3.18. The current and proposed membership structure can be seen in Table 2 below.

Schools Forum Members	Current Structure	Proposed Structure
Schools (Maintained)	9	8
Academy	7	8
Non-Schools	5	5
Total Schools Forum	21	21

- 3.19. The proposed membership structure and current representatives can be seen at Appendix 1.

Members of the Schools Forum are now asked to recommend to the Council :

The proposed membership structure and representatives of Schools Forum at Appendix 1

Schools Forum Membership Update

Schools Forum

Date: 18th October 2016

3.20. In addition to the proposed additional academy representative (para. 3.14) there is also one further Schools Forum member vacancy:

- Academies – Special academy

School Members (Maintained schools)

3.21. School members represent specified phases or types of maintained schools. As a minimum, schools forum must contain representatives of two groups of schools, primary and secondary schools, unless there are no primary or secondary schools maintained by the LA. Where a LA maintains one or more special schools the schools forum must have at least one member from that sector and the same applies to pupil referral units (PRUs).

3.22. The school members should be representative of the number of pupils attending maintained schools and the representative should be a head teacher, senior member of staff or governor. There should be at least one representative from the following sectors:

- Pupil Referral Unit (PRU) (1 representative)
- Special School (2 representative)
- Secondary School (Currently 2 representatives but a reduction to 1 is proposed at para 3.15)
- Primary School (4 representatives)

3.23. The relevant sub-group of the school sector will elect representative, e.g. primary school representatives are elected by the primary schools.

Academy Members

3.24. Academy Members, which includes the University Technical College and Free Schools must represent mainstream academies, and have at least one representative from Special or Alternative Provision academies if there are any in the LA area:

- Mainstream academies (Currently 6 representatives plus the additional representative that is proposed in para 3.16)
- Special academies (1 representative - Vacant)
- Alternative Provision (AP) academies – currently there is no AP academy in Swindon but if and when one opens there should be a representative on Schools Forum.

3.25. Academy representatives are not required to represent specific primary and secondary phases but academy proprietors are encouraged to ensure representation remains broadly proportionate to pupil numbers. Academy

Schools Forum Membership Update

Schools Forum

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members must be separately elected and designated from maintained school representatives.

- 3.26. Academies members must be elected to the Schools Forum by the proprietors of the Academies in the authority's area. Academies members are there to represent the proprietor bodies of academies and are, therefore, not necessarily restricted to principals, senior staff or governors.
- 3.27. There is currently a vacancy for a representative of Special Academies. There is only one special academy in Swindon and the proprietor of the special academy is requested to seek a representative for Schools Forum.

Members of the Schools Forum are now asked to:

- **Note there is currently a vacancy for a representative of Special Academies and that the proprietor of the special academy is requested to seek a representative for Schools Forum**

Non-School Members

- 3.28. Non-schools members may number no more than a third of Schools Forum's total membership. A representative of providers of 16-19 education must be elected from those providers. As with academies the providers are probably best placed to determine the election process.
- 3.29. The local authority must appoint at least one person to represent early years providers from the private, voluntary and independent (PVI) sector. Early years PVI settings need to be represented because funding for the free entitlement for three and four year olds and eligible two year olds comes from the Dedicated Schools Grant, and all settings are funded through the Early Years Single Funding Formula (EYSFF).
- 3.30. Before appointing additional non-schools members to the Schools Forum, the local authority must consider whether the Church of England and Roman Catholic dioceses situated in the local authority's area should be represented on the Schools Forum.
- 3.31. The purpose of non-schools members is also to bring greater breadth of discussion to schools forum meetings and ensure that stakeholders and partners other than schools are represented. Organisations which typically provide non-schools members are trades unions, professional associations and representatives of youth groups. However, as there are clearly limited numbers of non-schools members able to be on Schools Forum, care should be taken to ensure that an appropriate representation from wider stakeholders is achieved.
- 3.32. The current non-school members can be found at Appendix 1.

Schools Forum Membership Update

Schools Forum

Date: 18th October 2016

Schools Forum Membership Terms of Reference

- 3.33. Section 43 of the 2002 Education Act required Local Authorities to establish a Schools Forum to represent its schools. Subsequent regulations have extended and amended the original Act. The current regulations are Statutory Instrument 2012 No. 2261 Education England: "The Schools Forums (England) Regulations 2012".
- 3.34. It has been identified as part of the review that the current terms of reference were not as clearly set out as necessary to comply with the requirements in the regulations and guidance. The terms of reference have been updated and can be found at Appendix 2.

Members of the Schools Forum are now asked to recommend to the Council :

- **The Terms of Reference for Schools Forum be revised as set out in Appendix 2**

Election and nomination of schools (maintained) and academy members

- 3.35. The relevant group is probably best placed to determine how their schools members (maintained) should be elected.
- 3.36. Academies members must be elected to the Schools Forum by the proprietors of the Academies in the authority's area. Academies members are there to represent the proprietor bodies of academies and are, therefore, not necessarily restricted to principals, senior staff or governors.
- 3.37. There are currently vacancies for the following schools forum representatives:
- Special Academy (para. 3.27)
 - Proposed mainstream Academy - If agreed by Schools Forum (para. 3.14)

4. Alternative Options

- 4.1. In light of Maintained Schools converting to Academy Status, there is a need to review the membership of the Schools Forum and therefore, no other options have been considered.

5. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 5.1. There are no specific implications relating to this report.

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Schools Forum

Date: 18th October 2016

Legal and Human Rights Implications

- 5.2. The legal implications are set out in the body of the report.

All Other Implications (including Staff, Sustainability, Health, Rural, Crime and Disorder)

- 5.3. There are no such direct implications.

Diversity Impact Assessment (DIA)

- 5.4. The report reflects changes in the diversity of schools in Swindon.

Risk Assessment

There are no specific risk implications.

6. Consultees

- 6.1. The Board Director, Resources (Section 151 Officer) and Director of Law and Democratic Services (Monitoring Officer) are consulted on all reports.

7. Background Papers

- 7.1. Schools Forum: A Guide for Schools and Academies:
<https://www.gov.uk/guidance/schools-forum-a-guide-for-schools-and-academies>
- 7.2. Schools Forums Operations and Good Practice Guide 2015.
<https://www.gov.uk/government/publications/schools-forums-operational-and-good-practice-guide-2015>

8. Appendices

- 8.1. Appendix 1 – Proposed Schools Forum Membership
- 8.2. Appendix 2 – Schools Forum Terms of Reference

Proposed School Forum Membership (September 2016)

Maintained Schools
1 Pupil Referral Unit Headteacher or senior member of staff
2 Special School Headteacher, senior member of staff or Governor
1 Secondary Headteacher, senior member of staff or Governor (reduced from 2 proposal in report)
4 Primary Headteachers, senior members of staff or Governors

Academies – any type of member
6 Mainstream representatives (plus 1 additional member proposed in report)
1 Special representative

Non Schools Members - any type of member
Diocesan
Early Years Private, Voluntary and Independent Provider representative
Black and Minority Ethnic (BME) Community representative
Trade Union representative

Observer Education Funding Agency (EFA)
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Further information on the subject of this report can be obtained from Peter Nathan, Direct Dial 01793 463067, pnathan@swindon.gov.uk.

Current Schools Forum Representatives (September 2016)

Maintained School Representatives	Name	Term of office (4 years - HT/SLT 3 years - Governor)
Pupil Referral Unit Headteacher	Ben Slater	Sept 2014 - Aug 2018
Special School Headteacher	Jackie Smith	Sept 2014 - Aug 2018
Secondary Headteacher	Sue Banks	Sept 2014 - Aug 2018
Primary Headteacher	Janet Urban	Sept 2014 - Aug 2018
Primary Headteacher	Alison Lowe	Sept 2014 - Aug 2018
Primary Headteacher	Rhian Cockwell	Sept 2014 - Aug 2018
Governor - Special	Charles Law	Sept 2014 - Aug 2017
Governor - Secondary	VACANCY	Propose to be deleted (18/10/16)
Governor - Primary	Ray Williams	Sept 2014 - Aug 2017

Academy Representatives	Name	Term of office (4 years)
Mainstream Academy (Secondary)	Wendy Conaghan	Sept 2014 - Aug 2018
Mainstream Academy (Secondary)	James Povoas	July 2016 - July 2020
Mainstream Academy (Secondary)	Clive Zimmerman	July 2016 - July 2020
Mainstream Academy (Primary)	Lauren Costello	Sept 2014 - Aug 2018
Mainstream Academy (Primary)	Andrew Henstridge	Sept 2014 - Aug 2018
Mainstream Academy (Primary)	Jane Wheatley	Sept 2014 - Aug 2018
Mainstream Academy (Proposed)	VACANCY (if agreed 18/10/16)	
Special Academy	VACANCY	

Further information on the subject of this report can be obtained from Peter Nathan,
Direct Dial 01793 463067, pnathan@swindon.gov.uk.

Non-School Representatives	Name	Term of office (3 years)
Diocesan – Clifton Catholic / Bristol CE	Ruth Lee (Clifton Catholic) / VACANCY (Bristol CE)	Sept 2014 - Aug 2017
Early Years Private, Voluntary and Independent Provider	Kate Adams	Mar 2015 - Mar 2018
16 – 19 Partnership	Graham Taylor / Andrew Miller (alternating)	Sept 2014 - Aug 2017
Black and Minority Ethnic (BME)	Ram Thiagarajah	Sept 2014 - Aug 2017
Trade Union	Peter Smith	Sept 2014 - Aug 2017

Observer Education Funding Agency (EFA)	Owen Jenkins	N/A
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Further information on the subject of this report can be obtained from Peter Nathan, Direct Dial 01793 463067, pnathan@swindon.gov.uk.

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Swindon Borough Council
Schools Forum
Terms of Reference (Sept 2016)

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Further information on the subject of this report can be obtained from Peter Nathan,
 Direct Dial 01793 463067, pnathan@swindon.gov.uk.

Schools Forum Membership – Revised Terms of Reference September 2016

1. Regulations

Section 43 of the 2002 Education Act required Local Authorities to establish a Schools Forum to represent its schools. Subsequent regulations have extended and amended the original Act. The current regulations are Statutory Instrument 2012 No. 2261 Education England: “The Schools Forums (England) Regulations 2012”. Guidance issued by the Department for Education available at: <https://www.gov.uk/government/publications/schools-forums-operational-and-good-practice-guide-2015>

2. Functions

The Functions of the Schools Forum are set out in Appendix A.

3. Membership

School Members (Maintained Primary and Secondary Schools) (9)

- 1 Head of Pupil Referral Unit (PRU) or senior member of staff
- 1 Head of Special School, Headteacher or senior member of staff
- 1 Secondary Headteacher or senior member of staff
- 3 Primary Headteachers or senior members of staff
- 1 Governor – Primary
- 1 Governor – Secondary (*to be deleted if agreed by SF 18/10/16*)
- 1 Governor - Special

Academies (including the UTC and Free Schools) (7)

- 6 Mainstream representatives (*plus 1 if agreed by SF 18/10/16*)
- 1 Special representative
- 1 *Alternative Provision (AP) representative (as and when an AP free school opens)*

Non School Members (5)

- 1 Representative of the Roman Catholic and Anglican Dioceses
- 1 Early Years Representative
- 1 Representative of the 16-19 Institutions
- 1 Representative from the Black and Minority Ethnic Community
- 1 Representative of the Teachers’ Trade Unions

Observers (1)

- 1 Education Funding Agency

Further information on the subject of this report can be obtained from Peter Nathan, Direct Dial 01793 463067, pnathan@swindon.gov.uk.

Other attendees permitted to contribute

The Chief Financial Officer
The Director of Children's Services
Head of Education
Officers providing financial & technical advice to the Schools' Forum
The Cabinet Member for Children's Services
Presenters (restricted to the paper they are presenting)
The Cabinet Member with responsibility for Resources

4. Period of membership

School and Academy Members

Governors	3 years
Headteachers/Senior member of staff	4 years

Non-School Members

All Members	3 years
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The varying lengths of membership terms are designated to ensure that continuity of experience is maintained within the Forum.

Where a vacancy arises, the Authority shall appoint a replacement elected by the members of the relevant group nominated in accordance with the set procedure for such nominations.

In addition to a term of office coming to an end, a schools' member ceases to be a member of the Schools Forum if he/she resigns from the Forum or no longer occupies the office that he/ she was nominated to represent.

5. Substitutes

No substitutes are allowed.

6. Election of members

Members will be elected through the following processes:

Election of Chair and Vice Chair

The Chair of the Forum will be drawn from schools members only. He/She will be elected by a simple majority vote of members at a quorate meeting. The Vice Chair will be elected by the same process.

Election for Chair will be held on an annual basis. The next election is to be held at the first meeting in the financial year 2017-18.

Further information on the subject of this report can be obtained from Peter Nathan, Direct Dial 01793 463067, pnathan@swindon.gov.uk.

In the absence of the Chair and Vice Chair at any quorate meeting, the members will elect a chair for the meeting, drawn from the whole membership present.

Maintained School Members

Each representative group will be responsible for the method by which they elect and nominate representatives and should take full account of the Department for Education guidance upon the election and nomination of school representatives. Members can be drawn from Headteachers, senior members of staff and governors.

Academy Members

Academies members must be elected to the schools forum by the proprietors of the Academies in the authority's area. Academies members are there to represent the proprietor bodies of academies and are, therefore, not necessarily restricted to principals, senior staff or governors. For the avoidance of doubt, Free Schools, University Technical Colleges and Studio Schools are classed as academies for this purpose. There is no distinction between sponsored, non-recoupment and converter academies.

There are three sub-groups for academy members: mainstream academies, special academies and alternative provision academies and it is for the proprietors of academies within each of these sub-groups to elect their representatives. It is not appropriate, therefore, for headteacher phase groups to determine representation unless the academy proprietors have agreed and even then the voting would need to exclude maintained school representatives. There is no requirement for academies members to be split into primary and secondary sub-groups. However, the local authority would encourage academies to consider the pupil proportions across all academies when electing their representatives.

7. Quorum

The Forum shall be quorate if at least 40% of total membership is present at the meeting. If a meeting is inquorate, it may proceed but it cannot legally make decisions. An inquorate meeting can respond to the local authority's consultation and give views to the authority. It would normally be good practice for the authority to take account of such "unofficial" views but it is not legally obliged to do so. An inquorate meeting would have to be reconvened for decisions to be legally taken.

8. Declaration of interest and conduct

In carrying out their functions, members of the Forum shall act in accordance with the seven principles of public life set out in The Code of Conduct drawn up

Further information on the subject of this report can be obtained from Peter Nathan, Direct Dial 01793 463067, pnathan@swindon.gov.uk.

by the Committee on Standards in Public Life (CSPL) in 1995 and the terms were clarified in 2013: Selflessness, Integrity, Objectivity, Accountability, Openness, Honesty and Leadership.

At each meeting, members of the Forum shall declare an interest in any proposals, which directly affect a school at which they are a governor or headteacher or which their children attend or in which they have a pecuniary interest.

Forum members must declare an interest where relevant, for example, when discussing the letting of service contracts.

9. Voting arrangements

The voting arrangements shall be as follows:

- (a) Voting on the funding formulae will be restricted to school members and the Early Years member.
- (b) Voting on items which are subject to de-delegation will be restricted to the relevant phase of maintained school members.
- (c) Any other question to be decided at a meeting of the Forum shall be determined by a majority of the votes of members present. The Chair will not vote unless there is a need for a casting vote.

10. Conduct of meetings

Consultation on final changes to the formula will take place within a given period of the start of the financial year. Otherwise, meetings will take place a minimum of three times a year.

Extraordinary meetings may be called at the request of Council Officers and with the agreement of the Chair.

Meetings will be held at a time of day and at an appropriate location to allow full participation by members – 4.00 pm in the Civic Offices – or otherwise notified to Forum members ten days before each regular meeting.

These arrangements may be changed by a quorate meeting of the Forum.

Working groups or sub-groups of the Forum will be constituted as necessary to discuss specific issues and to produce draft advice for the Forum to consider. The Forum will agree the terms of reference of such groups and specify membership arrangements.

Sub-groups of the Forum will consider policy and make recommendations to the Forum but will not have delegated decision-making powers.

Sub-groups will be required to report to a full (quorate) meeting of the Forum for approval of findings before such findings are published or formally passed to the Local Authority.

Meetings of the Schools Forum shall be open and notes of the meetings will be available to the public. This will apply to sub-groups.

Forum members must declare an interest where relevant, for example, when discussing the letting of service contracts.

The Forum shall inform the Governing Bodies of all schools of the results of these consultations within 14 days of the date of the consultation.

Reports on the action taken by the Local Authority in response to Forum advice will be given by the Director of Children's Services or his or her representative as necessary.

Feedback from Governing Bodies on the value of the Forum and the appropriateness of its response to consultations will be requested at regular intervals of 12 months.

11. Public access

Papers, agendas and minutes of the Forum will be publically available through the Council's website.

In accordance with Council Standing Order 28, public questions are to be submitted to the Clerk, in writing at least 24 hours before the meeting to enable officers to provide a written response.

Proceedings and meetings of the Forum shall be open to the public except in limited circumstances as decided by the Forum.

Appendix A

Schools Forum - Functions

All Schools Forums must adhere to The Schools Forums (England) Regulations 2012.

- i) To be consulted on the LA's schools funding formula
- ii) To be consulted annually on the following specific issues relating to the Schools Budget:
 - a) special educational needs
 - b) pupil referral units and education otherwise than at school
 - c) arrangements for early years education
 - d) arrangements for the allocation of Government grants to schools
- iii) To be consulted (at least one month prior to the issue of tenders) on the terms of contracts to be let by an LA for services to schools where the contract is funded from within the Schools Budget and is of a size requiring adherence to relevant Public Services Contracts Regulations.
- iv) To be consulted on any proposed application to the DfE with regards to exclusions from the MFG
- v) By phase, to agree De-delegation for mainstream schools for:
 - a) Contingencies
 - b) Administration of free school meals
 - c) Insurance
 - d) Licence/subscriptions
 - e) Staff costs - supply cover
 - f) Support for minority ethnic pupils/underachieving groups
 - g) Behaviour support services
 - h) Museum and library services
- vi) To agree Central spend and the criteria for allocating funding from:
 - a) Funding for significant pre-16 pupil growth
- vii) To agree Central spend on:
 - a) Equal pay back-pay
 - b) Places in independent schools for non-SEN pupils

Further information on the subject of this report can be obtained from Peter Nathan, Direct Dial 01793 463067, pnathan@swindon.gov.uk.

- c) Early Years expenditure
 - d) Admissions
 - e) Servicing of schools forum
 - f) Capital expenditure funded from revenue
 - g) Schools budget centrally funded termination of employment costs
 - h) Licences negotiated centrally by the Secretary of State
 - i) Children and young people with high needs
-
- viii) To agree any carry forward of a deficit on central expenditure to the next year to be funded from the schools budget.
 - ix) To agree scheme of financial management changes (schools members only).
 - x) To agree to the level of school specific contingency at the beginning of each year
 - xi) In exceptional circumstances only:
 - To agree an increase in the amount of expenditure a local authority can retain from its Schools Budget above that allowed for in the regulations.

Members of the Schools Forum should respect the confidentiality of information received from the Council during processes leading up to contracts and sensitive commercial information from our suppliers in regard to contracts.

Education Funding Agency Funding Changes for Post 16 Education Other Than At School (Stratton, Riverside, Tuition Service) Pupils.

Schools Forum

Date: 18th October 2016

Author:	Strategic Commissioners – Education, Lyn Frith and Marie Horton.
Wards:	All
Locality Affected:	All
Parishes Affected:	All

1. Purpose and Reasons

- 1.1 To inform Schools Forum members about the changes to Education Funding Agency (EFA) funding regulations for learners who require additional high needs funding in post 16 organisations.
- 1.2 These proposals contribute towards delivering the Council Vision Priority “Offer education opportunities that lead to the right skills and right jobs in the right places.”

2. Recommendations

- 2.1 The Schools Forum is asked to:
- 2.2 Note that the LA is reviewing its practice in relation to learners from Stratton, Riverside and the Tuition Service as they progress into post 16 provision. .
- 2.3 Note that from January 2017 the Education Funding Agency (EFA) will only provide additional funding for post 19 pupils if they have an Education Health and Care Plan (EHCP)

3. Detail

Background

- 3.1 Historically the LA has provided additional high needs funding for all learners from Education Other Than At School (EOTAS) settings as they progress into post 16 education irrespective of their Special Education Need (SEN). This includes a one off payment to providers of £250 per pupil to support transition. The total cost to the high needs budget for 2015/16 was £508k for 102 students at an average of £4,983.45 per student. Following changes to legislation outlined in the 2014 Children and Families Act, Education Health and Care plans were introduced to replace statements and learning disability assessments for young people with SEND from 0-25.

Further information on the subject of this report can be obtained from Lyn Frith, Strategic Commissioner Education, 01793 463217, lfrith@swindon.gov.uk.

Education Funding Agency Funding Changes for Post 16 Education Other Than At School (Stratton, Riverside, Tuition Service) Pupils.

Schools Forum

Date: 18th October 2016

- 3.2 The majority of young people attending EOTAS provision do not have a statement or Education Health and Care Plan so would not normally be eligible for high needs funding in post 16 provision.
- 3.3 In order to ensure that those pupils with SEND receive the appropriate level of support post 16, all year 11 EOTAS pupils will be reviewed by January 2017. Where necessary a request for statutory assessment will be made to the SEN team to ensure that where required an EHCP is in place by the end of May 2017.

Members of the Schools Forum are now asked to:

- **Note that the LA is reviewing it's practice with regard to post 16 high needs funding for EOTAS pupils.**
- **Note that from September 2017 high needs funding will only be provided for those post 16 learners who have an Education Health and Care plan.**

4. Alternative Options

- 4.1 There are no alternative options presented in this report.

5. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 5.1 In 2015/16 the total cost of supporting ex EOTAS students in their year 12 and year 13 studies was £508K, this funding is contained within the total DSG funding retained in Swindon to fund High Needs students.

Legal and Human Rights Implications

- 5.2 There are no legal or human rights implications arising from this report.

All Other Implications (including Staff, Sustainability, Health, Rural, Crime and Disorder)

- 5.3 This report does not make any recommendations that affect these areas.

Diversity Impact Assessment

- 5.4 The LA will ensure that all pupils in EOTAS provision are assessed for an EHCP where appropriate to ensure that those with SEND receive suitable support in post 16 provision.

Further information on the subject of this report can be obtained from Lyn Frith, Strategic Commissioner Education, 01793 463217, lfrith@swindon.gov.uk.

Education Funding Agency Funding Changes for Post 16 Education Other Than At School (Stratton, Riverside, Tuition Service) Pupils.

Schools Forum

Date: 18th October 2016

Risk Management

- 5.5 These changes will be shared with managers in early help services and with post 16 providers in November 2016 to enable alternative strategies to be in place for September 2017

6. Consultees

- 6.1 The Board Director Finance, Revenues, Benefits and Property (Section 151 Officer), Director of Law and Democratic Services (Monitoring Officer) and Board Director – Commissioning (Director of Children Services) are consulted in respect of all reports.

7. Background Papers

- 7.1 EFA funding regulations.
7.2 SEN Code of Practice 2015.

8. Appendices

- 8.1 None.

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Post 16 High Needs Funding Update

Schools Forum

Date: 18th October 2016

Author:	Strategic Commissioner – SEN
Wards:	All
Locality Affected:	All
Parishes Affected:	All

1. Purpose and Reasons

- 1.1 To advise Schools Forum on the level of funding available.
- 1.2 Propose funding allocations to providers for the 2016/17 financial year.
- 1.3 Utilisation of the Dedicated Schools Grant (DSG) has a direct link to priority two of the Council's four priorities – "Offer educational opportunities that lead to the right skills, and right jobs in the right places".

2. Recommendations

The Schools Forum is recommended to:

- 2.1 Note that the latest projected 2016/17 financial year costs arising from the LA funding responsibilities for Post 16 High Needs Students is estimated at £1.954m for 311 post 16 (excluding sixth form) high needs students. This includes the costs of 36 placements at ISPs of £0.383m and indicative allocations to FE colleges and training providers of £1.323m for 275 students. (para. 3.7)
- 2.2 Note that banding values for the 2016/17 academic year remain at the indicative values notified to Schools Forum in July 2016, which have reduced slightly since the 2015/2016 academic year to fit within the available funding envelope. (para. 3.9)

3. Detail

Current Forecast for Post 16 placements

- 3.1 Although the Post 16 financial year runs from August to July, the DSG is allocated and reported on a financial year basis. Therefore this report is aligned to the financial year.
- 3.2 As reported to Schools Forum in July 2016 the total funding available for 2016/17 financial year for post 16 providers (excluding school sixth forms) is £2.000m.

Proposed 2016/17 ISP Costs

- 3.3 For placements at Independent Specialist Provider Colleges (ISPs) annual costs are at individually negotiated rates. Pupils attend ISPs when their needs cannot

Further information on the subject of this report can be obtained from Lyn Frith on 01793 463217, lfrith@swindon.gov.uk

Post 16 High Needs Funding Update

Schools Forum

Date: 18th October 2016

be met within the mainstream or special school 6th form, or mainstream FE College provision with additional support or a bespoke package.

Where appropriate placements are jointly commissioned, with social care and health agreeing contributions. ISP placements from September 2016 are estimated at 36 places with 2016/17 financial year costs of £0.383m.

Proposed 2016/17 FE College and Training Provider costs

- 3.4 In September 2014 the Universal Banding approach was implemented in all FE Colleges and Training Providers for High Needs students. The banding scheme was based on the model already used in special schools and SRPs. All students are funded at the same level and a range of supplements were agreed. Students have been allocated against the same 6 prime need bandings used for special school and SRPs and indicative post 16 banding values were calculated based on the funding envelope as calculated below:

- Total funding envelope financial year **£2.000m**
- Less term 5 and 6 costs from the 15/16 academic year **£0.671m**
- Balance available for terms 1- 4 of the 16/17 academic year **£1.329m** (September-March)
- Less ISP costs September – March **£0.195m**
- Balance available for FE Colleges and Training Providers September – March **£1.134m**

Funding Allocations 2016/17

- 3.4 At this stage in the year the LA is unable to confirm precise funding allocations for individual providers because some students have not yet confirmed their placements for the 2016/17 academic year. Table 1 below provides the LA's best estimates:

Table 1 – Indicative 2016/17 Academic Year Allocations					
	Estimated places for 16/17 as reported to Schools Forum in July	Latest estimated places – for Sept 2016	2016/17 Financial Year payment April – August	2016-17 Financial Year payment Sept - March	Financial Year Total April 2016 – March 2017
Cirencester College	3	4	£6,312	£6,724	£13,036
New College	83	83	£133,050	£301,279	£434,329
Swindon College	139	136	£160,385	£365,255	£525,640

Further information on the subject of this report can be obtained from Lyn Frith on 01793 463217, lfrith@swindon.gov.uk

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Wiltshire College	7	6	£58,295	£11,803	£70,098
FE College Total	232	229	£358,042	£685,061	£1,043,103

Training Providers Total	30	46	£125,501	£155,121	£280,622
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ISPs	3	3	£72,594	£32,405	£104,999
UET	37	33	£115,262	£162,984	£278,246
ISP Total	40	36	£187,856	£195,389	£383,245

Contingency	65	81	0	£246,999	£246,999
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Overall Total	367	392	£671,399	£1,282,570	£1,953,969
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- 3.5 The LA expects to fund element 3 top ups for a total of 311 students during the 2016/17 academic year.
- 3.6 There are currently 81 pupils who have been identified as being high needs, but their post 16 destination is currently unknown. Schools Forum should note that it is still early in the term and students are still enrolling in to post 16 provisions.
- 3.7 The latest projection based on the current known student numbers and the bandings allocated through the moderation process will mean an estimated total financial year spend of £1.954m.
- 3.8 A contingency budget of £0.247m has been developed for the period September-March for the identified pupils who are high needs but where a destination has yet to be confirmed as it is still early in the term.
- 3.9 Although the allocation of learners has changed slightly since the July Schools Forum we are not proposing to adjust the indicative values which were noted within the previous report and which can be found in Table 2 below.

Table 2 – Proposed 2016/17 post 16 post school High Need Band Values & Supplements			
<u>Universal Banding Descriptor</u>	<u>Values 2015/16 AYR</u>	<u>Values 2016/17 AYR</u>	<u>Difference in Value</u>
Band 1 – 100%	£8,155	£7,910	-£245
Band 2 - 90%	£7,340	£7,119	-£221
Band 3 - 60%	£4,893	£4,746	-£147
Band 4 – 37.5%	£3,058	£2,966	-£92
Band 5 - 30%	£2,447	£2,373	-£74
Band 6 – 15%	£1,223	£1,187	-£36

Further information on the subject of this report can be obtained from Lyn Frith on 01793 463217, lfrith@swindon.gov.uk

Post 16 High Needs Funding Update

Schools Forum

Date: 18th October 2016

Supplements			
Medical Needs	£750	£750	£0
Manual Handling	£500	£500	£0
Transition	£250	£250	£0
Workshop / High Risk Environment	£400	£400	£0
Open campus	£250	£250	£0

Members of the Schools Forum are now asked to:

- Note that the latest projected 2016/17 financial year costs arising from the LA funding responsibilities for Post 16 High Needs Students is estimated at £1.954m for an estimated 311 post 16 (excluding school sixth form) high needs students. This includes costs of 36 placements at ISPs of £0.383m and indicative allocations to FE colleges and training providers of £1.323m for 275 students

Note that banding values for the 2016/17 academic year remain at the indicative values notified to Schools Forum in July 2016, which have reduced slightly since the 2015/2016 academic year to fit within the available funding envelope.

4. Alternative Options

- 4.1 The LA has a statutory duty to manage and distribute the Dedicated Schools Grant (DSG) in accordance with prevailing grant conditions and School Finance Regulations. DfE have prescribed the options available to Local Authorities, some of which are mandatory whilst some are discretionary, but in most cases funding values are to be locally determined. The proposals in this report are aimed at containing costs within the level of funding provided by EFA to meet the LAs responsibilities. As no elements of the DSG are ring fenced it is for individual LAs to decide how best to manage this funding via consultation with Schools Forum.

5. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 5.1 As this is essentially a financial report the implications are explained throughout the document. At this stage the impact of any funding changes on individual colleges and other providers cannot be precisely determined although the establishment of banding and supplement values should reduce financial uncertainty.

Legal and Human Rights Implications

- 5.2 There are no legal and human rights implications arising from this report.

Further information on the subject of this report can be obtained from Lyn Frith on 01793 463217, lfrith@swindon.gov.uk

Post 16 High Needs Funding Update

Schools Forum

Date: 18th October 2016

All Other Implications (including Staff, Sustainability, Health, Rural, Crime and Disorder)

- 5.3 Although the impact on individual settings cannot be determined at this stage the school funding reform programme is causing a degree of volatility which may have implications for schools and other providers which are detrimentally affected by the redistribution of funding. In determining funding levels the LA is required to comply with the school finance regulations and providers are expected to manage their operations and spending within their available funding including brought forward balances.

Diversity Impact Assessment

- 5.4 The DfE's funding reform programme is aimed at simplifying fair funding although funding changes at individual settings is inevitable. The reform programme is clearly aimed at ensuring funding is targeted at disadvantaged pupils and at pupils with low prior attainment and/or special education needs in order to narrow the attainment gap between these and other pupils.

Risk Management

- 5.5 The key risks arising from this report are that local decisions relating to Post 16 funding could lead to an overspend on the 2016/17 DSG and/or that the EFA could deem that our funding arrangements do not comply with the school finance regulations requiring budgets to be recalculated.

6. Consultees

- 6.1 The Board Director Finance, Resources (Section 151 Officer), Board Director, Commissioning (Director of Children Services) and Director of Law and Democratic Services (Monitoring Officer) are consulted in respect of all reports.

7. Background Papers

- 7.1 None

8. Appendices

- 8.1 None

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2016-17 Dedicated Schools Grant Budget Position

Schools Forum

Date: 18th October 2016

Author:	Finance Manager Education
Wards:	All
Locality Affected:	All
Parishes Affected:	All

1. Purpose and Reasons

- 1.1 To advise Schools Forum members of the latest projected 2016-17 Dedicated Schools Grant (“DSG”) retained budget position.
- 1.2 The Local Authority (“LA”) is required to report the position on the DSG budget to the Schools Forum throughout the year and at the financial year end. This report provides Forum Members with the projected year end position against the 2016-17 retained budgets based upon available information at the end of August 2016.
- 1.3 The retained DSG budget is monitored in accordance with standard Swindon Borough Council (SBC) budgetary control procedures and a report is submitted to the Education Leadership Team each month. Updates are also periodically provided to Corporate Management Team, Cabinet and the Children and Young Peoples Overview and Scrutiny Committee.
- 1.4 Utilisation of the DSG has a direct link to one of the Council’s four priorities – “Offer education opportunities that lead to the right skills and the right jobs in the right places”.

2. Recommendations

The Schools Forum is recommended to:

- 2.1 Note that the latest projection on the 2016-17 retained budget is an out-turn position that will be **£0.407m below budget**.
- 2.2 Note that following the projected out-turn position the unallocated DSG balance will increase to **£0.616m**.

3. Detail

Latest 2016-17 Retained Budget Position

- 3.1 As reported to Schools Forum on 12th January 2016 the overall value of the 2016-17 centrally retained DSG budget is £30.695m.
- 3.2 Attached at **Appendix A** is the report that was issued to the Education Leadership Team on 15th September 2016 based on information at the end of May. This shows that the projected out-turn position is forecast to be £0.407m below the

Further information on the subject of this report can be obtained from Anne Mackay, Finance Manager Education 01793 465742, amackay@swindon.gov.uk.

2016-17 Dedicated Schools Grant Budget Position

Schools Forum

Date: 18th October 2016

overall budget. The main reasons for the projected variances and commentaries on all high risk areas are provided in **Appendix A**.

- 3.3 The LA Finance team continue to work with Budget Managers to review the financial position to ensure robust forecasts are projected. In setting the retained budget officers included an element of contingency funding across some of the high risk budget areas to meet for any unexpected placements commissioned before 31st March 2017.
- 3.4 At this stage the LA is expecting that, although there continues to be a risk associated with the projection, it is expected that the year-end position of £0.407m (0.25%) below budget will occur, which will be added to existing unallocated DSG balances.
- 3.5 The previous position reported to forum in July was £0.282m below budget so there has been an improvement of £0.125m due in the main to revised expenditure forecasts following the Early Years summer payments.
- 3.6 Following the projected forecast of £0.407m the value of the unallocated DSG balances will be £0.616m. The financial position will continue to be monitored and the final 2016-17 outturn position (subject to external audit) will be represented to the July 2017 Schools Forum after closure of the LA's accounts.

Members of the Schools Forum are now asked to:

- **Note that the latest projection on the 2016-17 retained budget is £0.407m below budget**
- **Note that following the projected out-turn position the unallocated DSG balance will increase to £0.616m**

4. Alternative Options

- 4.1 There are no proposals included within this report.

5. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 5.1 Various financial implications are included in this report relating to management of the retained DSG budget

Legal and Human Rights Implications

- 5.2 There are no legal or human rights implications arising from this report.

Further information on the subject of this report can be obtained from Anne Mackay, Finance Manager Education 01793 465742, amackay@swindon.gov.uk.

2016-17 Dedicated Schools Grant Budget Position

Schools Forum

Date: 18th October 2016

All Other Implications (including Staff, Sustainability, Health, Rural, Crime and Disorder)

- 5.3 This report does not make any recommendations that affect these areas.

Diversity Impact Assessment

- 5.4 As there are no proposals in this report, a DIA has not been completed.

Risk Management

- 5.5 There are no specific risk management implications not highlighted in the body of the report.

6. Consultees

- 6.1 The Board Director Resources (Section 151 Officer) and Director of Law and Democratic Services (Monitoring Officer) are consulted in respect of all reports.

7. Background Papers

- 7.1 None

8. Appendices

- 8.1 Appendix A - Education Leadership Team budget monitoring report.
8.2 Appendix B – DSG Budget analysis by expenditure type.
8.3 Appendix C – DSG Profiled budget to date compared with actual spend to date.

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Report to: **Commissioning – Education Leadership Team**
 From: Anne Mackay, Finance Manager – Education
 Date: 9th September 2016
 Subject: **Budget Monitoring Report 2016-17 – DSG Services**
 Period: Period to August 2016

1) Background

The Council's corporate budget monitoring timetable requires each Group to report its forecast outturn position each month and this report is based on information provided at the end of August 2016.

Although the DSG position is included in Corporate Management Team and Cabinet reports it is unlikely that elected members will be overly concerned as this is outside the SBC General Fund and is essentially an issue for the Head of Education and his leadership team to manage in consultation with the Finance Team and Schools Forum.

A summary of how the 2016-17 DSG has been allocated so far is provided below.

Table 1 – DSG 2016-17 Overview

	<u>£m</u>	<u>£m</u>
<u>Delegated</u>		
Maintained Mainstream schools	45.664	
Maintained Specialist settings (Special Schools and SRP's)	7.551	
Maintained Specialist Settings - £0.520m EFA Post 16 funding	(0.520)	
Academy Mainstream Recoupment	77.104	
Academy Specialist settings (Special Schools and SRP's) Recoupment	2.022	
Commissioned Services	1.034	
		<u>132.855</u>
<u>Centrally retained for provision</u>		
Disadvantaged 2 year old nursery places	2.526	
Free Nursery Entitlement 3 & 4 year olds	9.111	
In Year Pupil Growth	0.656	<u>12.292</u>
High Need SEN		
Portage, SEN equipment, Therapeutic services etc.	0.752	
SBC top ups – mainstream settings	2.672	
SBC top ups - high need specialist settings	8.986	
HN Contingency	0.252	
Tuition Service	0.881	
Out of Borough placements	2.182	
Post 16 provision (new responsibilities)	2.000	
Exclusions income	(0.335)	<u>17.390</u>
<u>Centrally retained to cover SBC and other costs</u>		
Admissions, Free School Meal eligibility checks, school licences, equal pay etc.	1.013	<u>1.013</u>
		<u>30.695</u>
Total DSG Allocation (including Early Years Pupil Premium of £0.164m)		<u>163.550</u>

2) Completion of Online Monitoring Forecasts

As part of the budget monitoring reporting process the LA is required to report to Corporate Board how active Budget Managers have been in contributing to the on line information used

Schools Forum 18th October 2016 – DSG Retained Budget Monitoring Report Appendix A to collate period end information. For DSG service areas the end of August completion rate remained at 94.9% (37/39), but it should be noted that the forecast for the other two cost centres cannot be confirmed due to system parameters.

The Leadership Team is asked to remind Budget Managers of the importance of this exercise and to encourage continued high participation for the remainder of the year.

3) High Risk Areas and Latest Projections

Commentaries on all the main variances have been identified and those areas of the budget, which are inherently high-risk, and therefore have the potential to significantly affect the overall position, are provided below.

Table 2 – Latest Budget Monitoring Position

Item	Notes	Budget 2016-17 £'000	Projected Variance August £'000	Projected Variance July £'000
<u>High-Risk Areas</u>				
2 year old nursery place funding	2	2,526	(588)	(544)
Free nursery education (3&4 year olds)	3	9,111	(401)	(322)
High Needs Top ups (Specialist and Mainstream)	4	11,658	0	0
Notional SEN supplements (Mainstream)		400	0	0
External Placement Fees		2,182	0	0
HN Contingency	5	252	(252)	(252)
Post 16 HN Provision - New Responsibilities		2,000	0	0
School Exclusions / Dual registrations	6	(335)	20	20
Tuition Service		881	0	0
Schools Equal Pay Claims		31	0	0
Subtotal High Risk Areas		28,705	(1,221)	(1,098)
Other Low risk retained budgets	7	1,990	130	130
Early Years 30 hours implementation costs		150	0	0
Early Years 30 hours implementation grant		(150)	0	0
Total Retained Budgets		30,695	(1,091)	(968)
Maintained School Budgets (Mainstream)	8	45,664	(2,837)	(2,837)
Maintained School Budgets (Specialist Settings)	8	7,551	(90)	(90)
Commissioned Services		1,034	0	0
EFA 6 th Form Place Funding	9	(520)	10	10
Total DSG School Budgets		53,729	(2,917)	(2,917)
Total DSG Expenditure Budgets		84,424	(4,008)	(3,885)
Mainstream Academy budgets for recoupment	10	77,104	2,796	2,796
EFA direct funding of High Need places	10	2,022	90	90
Total DSG Budget		163,551	(1,122)	(999)
DSG Funding allocation receivable	1	(84,424)	3,601	3,603
DSG Funding recouped by the EFA for Academies	1	(77,104)	(2,796)	(2,796)
DSG Funding recouped by the EFA for HN places	1	(2,022)	(90)	(90)
Total DSG Funding Budgets		(163,551)	715	717
Total DSG Forecast		0	(407)	(282)

The Leadership Team is asked to note the risk areas above and the projected out-turn position, which will be reported to Corporate Management Team this month.

The main reasons for the variances from budget that are being forecast are provided below:

Note 1) DSG Funding Receivable

£3.603m decreased funding

Budget allocation

As reported last month the budgeted DSG allocation is **£163.551m** including funding for Early Years Pupil Premium and an estimate of the DSG based on January 2016 and January 2017 census for 2 year olds and 3 & 4 year olds. As reported previously the LA budgets for the full DSG allocation from the EFA but the actual cash received is the DSG allocation less Academy Recoupment and High Need places funded directly by the EFA, a budgeted DSG receivable of **£84.424m**.

Actual receipt

As at **(A)** in table 3 below, after allowing for academy recoupment and EFA Direct funding of HN places the 2016-17 DSG expected to be received is **£80.777m**, an overall variance in funding in 2016-17 of **£3.648m** when compared to budget. This reduction in funding is due to lower than anticipated census data for Early Years pupils for 2 year olds **£0.406m** (note 2) and 3 & 4 year olds **£0.319m** (note 3). The Early Years Pupil Premium allocation has been amended by the EFA following the spring census to £0.128m, a decrease of **£0.036m**.

The other variances are due to an increase in Academy recoupment **£2.796m** (note 9 and offset by a reduction in mainstream primary school budgets of £2.837m note 7) and an increase in EFA Direct Funding of HN places for the SRP places for a recent academy converter **£0.090m** (note 7).

The EFA have also finalised the spring census and the final numbers in both 2 year olds and 3 & 4 year olds were higher than anticipated at year end leading to the receipt of an additional **£0.047m**. As shown at **(B)** in Table 3 below, the total DSG expected to be received is **£80.824m**, an overall variance of **£3.601m** when compared to the DSG budget allocation.

Table 3– 2016-17 DSG receivable

Allocation	Budget £m	Expected £m	Variance £m
EFA's DSG Allocation (Schools & HN Block)	(151.521)	(151.521)	0.000
EFA DSG Early Years for 2 year olds	(2.332)	(1.926)	0.406
EFA DSG Early Years for 3 & 4 year olds	(9.532)	(9.213)	0.319
EFA DSG Early Years Pupil Premium	(0.165)	(0.128)	0.036
Total DSG allocation	(163.551)	(162.789)	0.761
Less Academy recoupment	77.104	79.900	2.796
Less EFA Direct Funding of High Need places	2.022	2.112	0.090
(A) DSG receivable 2016-17	(84.424)	(80.777)	3.648
Early Years Spring 16 Census 2 yr olds	0.000	(0.008)	(0.008)
Early Years Spring 16 Census 3&4 yr olds	0.000	(0.039)	(0.039)
(B) DSG expected to be received in year 16-17	(84.424)	(80.824)	3.601

Note 2 – Disadvantaged two year old nursery funding

£0.588m Decreased expenditure

£0.406m Decreased funding

Following the summer payments to providers the total payments for the year are now expected to be **£0.588m** lower than the budget of £2.526m for 2 year old places in line with a lower than

budgeted January 2016 pupil census. Private, voluntary and independent settings are expected to be £0.889m lower than budgeted offset by a pressure of £0.285m for maintained nursery settings.

The funding is based on the actual pupil numbers at the spring census 2016 (5/12ths) and spring census 2017 (7/12ths). The spring 2016 census numbers were lower than anticipated and have fallen since the census data so a prudent estimate of funding has been forecast.

Table 4 – Early Years 2 year old 2016-17 DSG Funding		
	2016-17 Budget	2016-17 Projection
January 2016 Census (5/12)	494	408
January 2017 Census (7/12)	494	408
Full Year Equivalent	494	408
2 year old funding rate for FTE	£4,721.50	£4,721.50
Total DSG receivable	£2,332,421	£1,926,372
Variance		(£406,049)

The estimated net decrease in 2 year old pupils of 86 FTE will result in a **£0.406m** reduction of DSG.

Note 3 – Free nursery education (3 & 4 year olds): **£0.401m Decreased expenditure**
£0.313m Decreased funding

Following the summer payments the 2016-17 forecast position is **£0.322m** lower than budget based on actual take up, the expenditure in Private, Voluntary and Independent (PVI) settings is expected to be **£0.488m** less than budget offset by a pressure in Maintained settings of **£0.087m**.

This element of DSG is based on participation and the LA anticipates that along with the decrease in expenditure there will also be a decrease in the amount of Dedicated Schools Grant receivable as the FTE numbers are projected to be lower than budgeted based on the recent spring census. Early Years DSG is calculated based on 5/12ths of the January 2016 and 7/12ths of the January 2017 Early Years Census. The latest DSG calculation compared to the 2016-17 budget agreed by Schools Forum is summarised below.

Table 5 – Early Years 3 and 4 year old 2016-17 DSG Funding		
	2016-17 Budget	2016-17 Projection
January 2016 Census (5/12)	2,380	2,328
January 2017 Census (7/12)	2,503	2,369.31
Full Year Equivalent	2,452	2,369.60
3 and 4 year old funding rate	£3,888.06	£3,888.06
Total DSG receivable	£9,532,551	£9,213,143
Variance		(£319,408)

The estimated net decrease in early years' pupils of approximately 82 FTE will result in a **£0.319m** reduction of DSG.

Note 4 – High Needs Top Ups:**£0 variance as forecast to budget**

The overall High Needs Top Ups budget forecast is currently expected to be in line with budget, including an additional £0.050m expenditure for Early Years pupils. There are still some risks relating to expected bandings and vacant places in some specialist provisions that could fill up during the year.

The LA has established robust SENRAP processes and there is rigorous moderation of all applications.

Note 5 – High Needs Contingency:**£0.252m not yet utilised**

During the 2016-17 budget setting process Schools Forum agreed that a contingency of £0.252m would be held to cover additional top up and placements costs. The **£0.252m** budget is expected to cover emerging pressures in HN Top ups for all settings and External Placement fees, there are inherent risks with these demand led budgets, however they are currently forecast to be in line with budget.

Note 6 – Exclusions:**£0.020m Pressure**

Within the Tuition Service there is an increasing number of short term placements (currently 28/45) where a charge is not made resulting in a pressure of **£0.020m**.

Note 7 – Other low risk retained budgets:**£0.130m Pressure**

The total pressure across these budgets is **£0.130m**, £0.036m is related to the NNDR credits for two academy conversions, which will now show in the variance between the reduction of mainstream school budgets (note 8) and academy recoupment (note 10) and £0.012m for increased NNDR costs for an expanded maintained school. There is also an £0.80m pressure related to pupil growth (Trigger funding) as 70 new reception places needed to be created in North Swindon from September 16 and a small variance relating to the cost of manuals for families supported by the Portage service £0.002m.

Note 8 – Maintained school budgets:**£2.927m Decreased expenditure**

As reported previously the school budgets for two recent mainstream academy converters will now be recouped and paid directly to the academies by the Education Funding Agency (EFA) £2.837m, the reduction in school budgets is £0.041m less than the recoupment to allow for the academy NNDR credit (note 7). The EFA will also pay for the 9 SEN places at the academy with a special resource provision £0.090m, academy recoupment figures have been increased as a result (note 10).

Note 9 – EFA 6th Form Place Funding:**£0.010m Decreased Funding**

As reported previously the EFA will be funding 51 and not 52 6th form places at a Swindon Special School **£0.010m**.

Note 10 – EFA recoupment for academies and HN places:**£2.886m Pressure**

As reported last month, the EFA have increased the amount of DSG funding they expect to recoup for academies by **£2.796m** due two recent academy conversions, the EFA will also be recouping 9 SEN places to pay the funding directly to an academy with a special resource provision **£0.090m**.

The Leadership Team is asked to note the risk areas above, the forecast out-turn positions and the suggested actions.

4) DSG Balance

In accordance with DfE grant conditions the DSG must be treated by the LA as being ring fenced for specified educational purposes and, in addition to consulting the Schools Forum on

how each year's grant is allocated, the Forum must also be advised on any year end surplus or deficits. The latest position is as follows:

Table 6 – DSG Balance	Latest Position
Opening DSG balance bfwf from 2015-16	£0.209m
Plus projected in year position (see table 2)	£0.407m
Projected DSG balance unallocated	£0.616m

The Leadership Team is asked to note that the unallocated DSG balance is £0.616m and that all expenditure funded from this balance will need to be allowed under the early years and school finance regulations and be agreed by Schools Forum.

5) Subjective Analysis

A summary of the latest projected year-end position of £1.091m across the £30.7m centrally retained budget by type of expenditure compared to the budget profiles is shown below. This presents a different view to the more traditional analysis by service area. This is a standard table used by the Finance Team which has been included in the DSG report to improve consistency.

Table 3 - Subjective analysis Delegated DSG August 2016

Group Budget position by expenditure type	Year to date budget £'000	Year to date actual £'000	Year to date variance £'000	Total Budget 2016/17 £'000	Forecast Variance 2016/17 £'000
Employees	582	560	(22)	1,398	23
Premises	933	909	(23)	992	(2)
Transport	5	6	1	12	0
Supplies & Services	646	530	(117)	1,568	(248)
3rd Party Payments	10,338	10,572	234	29,041	(947)
Internal Recharges	865	903	38	942	20
Capital Financing	0	0	0	0	0
Income	(1,611)	(1,823)	(212)	(3,257)	63
Total	11,758	11,657	(101)	30,695	(1,091)

To better understand the above table the following annexes are attached to this report.

- **Annex A** – this shows a breakdown of all the 2016-17 retained budgets by type of expenditure and income and produces the totals in the “Total budget 2016-17” column in table 7 above
- **Annex B** – this shows a breakdown of each services profiled budget to date compared with actual spend to date. This will present useful information for both year to date actuals and full year projections. The aim is to highlight and address variances now, rather than wait until nearer the year end where late changes undermine confidence in our reporting.

The Leadership Team is asked to note the addition of subjective analysis information and the need to agree realistic budget profiles for input to the oracle system.

6) Improving Forecasting

Managers across the LA will be regularly invited to attend discussions on what the barriers to effective forecasting are and how they can be alleviated.

Given that we are accountable to the Schools Forum regarding the effective management of the DSG, monthly meetings with senior Budget Managers will be scheduled through to the end of 2016-17 to take place shortly after the month end forecasting deadlines. This will enable all high risk forecast figures to be challenged and enable the wider budget position to be assessed, particularly on high need budgets, prior to reporting through to corporate board and in some months the Schools Forum.

The Leadership Team is asked to note that the finance team will be inviting budget managers to discuss barriers to effective forecasting and that additional meetings have been scheduled to discuss key areas and the overall DSG position.

7) Summary of Key Recommendations

The Leadership Team is asked to:-

- Note that the forecast out-turn position, projected to be £0.407m below budget, will be reported to Corporate Board this month
- Note the risk areas above, the forecast out-turn positions and the suggested actions
- Note that the unallocated DSG balance is currently £0.616m
- Note the steps proposed aimed at improving forecasting

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DSG Budget Analysis by Expenditure Type

Appendix B

Service Area	2016/17 Budgets by Expenditure Type								
	Employees £'000	Premises £'000	Transport £'000	Supplies & Services £'000	3rd Party Payments £'000	Internal Recharges £'000	Capital Financing £'000	Income £'000	Total £'000
Free nursery education (3&4 year olds)	78.3	-	1.1	0.4	9,031.0	-	-	-	9,110.8
School subscriptions	-	-	-	190.6	-	-	-	(50.6)	140.0
Disadvantaged two year olds	22.8	-	-	-	2,462.5	40.2	-	-	2,525.5
Equal Pay	-	-	-	-	-	31.0	-	-	31.0
Central Charges	-	-	-	-	-	634.5	-	-	634.5
LAC Pupil Premium	-	-	-	378.1	-	-	-	(378.1)	-
DSG NNDR	-	904.7	-	-	-	-	-	(941.2)	(36.5)
Nyland Primary Behaviour Support	-	-	-	135.7	-	-	-	(135.7)	-
Trade Union Facilities	24.0	-	-	-	-	-	-	(24.0)	-
Schools' Forum	-	-	-	2.0	-	-	-	-	2.0
Trigger funding	-	-	-	-	524.0	-	-	-	524.0
Pupil Growth set up costs	-	-	-	-	131.8	-	-	-	131.8
Admissions	161.2	-	0.3	13.1	-	55.2	-	(34.5)	195.3
Free School Meals administration	-	-	-	2.4	-	19.4	-	(21.8)	-
Therapy	-	-	-	-	-	105.0	-	-	105.0
High Needs top ups	-	-	-	-	11,658.3	-	-	-	11,658.3
Statemented Pupils Equipment	-	-	-	130.0	-	-	-	-	130.0
Education Support Services Monitoring	-	-	-	10.0	-	-	-	-	10.0
Out of Borough fees	-	-	-	-	2,458.9	-	-	(277.3)	2,181.6
Travellers children	-	-	-	-	2.0	-	-	-	2.0
Tuition Services	634.0	28.3	6.5	37.9	123.6	59.9	-	(9.4)	880.8
Post 16 new responsibilities	15.1	-	-	-	2,248.7	-	-	(263.8)	2,000.0
Broadband Connectivity	-	-	-	383.8	-	-	-	(383.8)	-
The Oakfield project	288.5	47.4	2.2	11.1	-	-	-	(349.2)	-
Portage	158.2	11.7	2.1	2.7	-	-	-	(23.0)	151.7
Notional SEN	-	-	-	-	400.0	-	-	-	400.0
School Exclusions	15.5	-	-	17.6	-	(3.1)	-	(365.0)	(335.0)
High Needs Contingency	-	-	-	252.4	-	-	-	-	252.4
Expense Category Totals	1,397.6	992.1	12.2	1,567.8	29,040.8	942.1	0.0	(3,257.4)	30,695.2

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End of August 2016 Budget Monitoring

Appendix C

Service	Cost Centre	Budget to date	Actual to date	Variance to date	Full Year budget	Full year forecast	Full Year Variance
Free Nursery Education Commissioning - three & four year olds	2000	£2,346,820	£3,501,672	£1,154,852	£9,110,800	£8,859,700	(£401,100)
School subscriptions	2004	£140,000	£139,066	(£934)	£140,000	£140,000	£0
Free Nursery Education Commissioning - two year olds	2005	£665,325	£674,913	£9,588	£2,525,500	£1,937,189	(£588,311)
DSG Retained Equal Pay	2009	£31,000	£31,000	£0	£31,000	£31,000	£0
DSG Retained Contingency	2011	£634,500	£641,411	£6,911	£634,500	£634,500	£0
LAC pupil premium	2012	£94,525	(£354,058)	(£448,583)	£0	£0	£0
DSG NNDR	2015	(£36,500)	£11,972	£48,472	(£36,500)	£11,900	£48,400
Universal Infant Free School Meals	2016	£0	£0	£0	£0	£0	£0
Nyland Primary Behaviour Support	2019	(£79,160)	(£63,168)	£15,992	£0	£0	£0
Trade Union Facilities	2020	(£14,005)	(£9,699)	£4,306	£0	£0	£0
Schools' Forum	2021	£830	£1,108	£278	£2,000	£2,000	£0
Pupil Growth Trigger Funding	2023	£0	£110,645	£110,645	£524,000	£603,700	£79,700
Pupil Growth Set Up Costs	2024	£131,800	£24,229	(£107,571)	£131,800	£131,800	£0
Admissions	2025	£110,685	£108,649	(£2,036)	£195,300	£195,300	£0
Free School Meals administration	2026	£3,950	(£9,237)	(£13,187)	£0	£0	£0
Therapy	2027	£26,250	£26,250	£0	£105,000	£105,000	£0
SEN Resourcing Assessment Panel	2028	£4,877,765	£4,744,983	(£132,782)	£11,658,300	£11,658,300	(£0)
Statemented Pupils Equipment	2029	£116,000	£109,978	(£6,022)	£130,000	£130,000	£0
Quality Assurance of commissioned services	2032	£2,500	£0	(£2,500)	£10,000	£10,000	£0
Out of Borough School Fees	2033	£955,210	£618,407	(£336,803)	£2,181,600	£2,181,600	£0
Travellers Children	2034	£830	£0	(£830)	£2,000	£1,500	(£500)
Tuition Service	2035	£365,350	£409,420	£44,070	£880,800	£880,800	£0
Post 16 - New Responsibilities	2036	£833,335	£813,087	(£20,248)	£2,000,000	£2,000,000	£0
Broadband Connectivity	2039	£159,915	£181,276	£21,361	£0	£0	£0
The Oakfield Project	2040	£63,150	£119,253	£56,103	£0	£0	£0
Portage	2042	£67,995	£52,609	(£15,386)	£151,700	£154,487	£2,787
Notional SEN	2048	£400,000	£0	(£400,000)	£400,000	£400,000	£0
School Exclusions and short term placements	2049	(£139,585)	(£226,463)	(£86,878)	(£335,000)	(£315,000)	£20,000
High Needs Contingency	2055	£0	£0	£0	£252,400	£0	(£252,400)
OVERALL TOTAL		£11,758,485	£11,657,303	(£101,182)	£30,695,200	£29,753,776	(£1,091,424)

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Monitoring of School Balances

Schools Forum

Date: 18th October 2016

Author:	Finance Manager – Education
Wards:	All
Locality Affected:	All
Parishes Affected:	All

1. Purpose and Reasons

- 1.1 The LA is required to monitor the level of school balances held by schools to provide assurance to the LA's Chief Financial Officer, Director of Children Services and Cabinet Member for Children Services regarding the financial sustainability of individual schools. The LA must work with individual schools where balances are low or where there are strong indications that they will be low in the immediate future
- 1.2 To advise Schools Forum members of the final position on 31st March 2016 school revenue balances compared with the estimated position as forecast by schools in December 2015.
- 1.3 To advise Schools Forum members of the planned use of 2015/16 surplus balances during 2016/17 and the use of 2016/17 surplus balances in 2017/18 and beyond.
- 1.4 To advise Schools Forum members of the estimated school revenue balances expected to be held on 31st March 2017 as forecast by schools in June 2016.
- 1.5 To advise Schools Forum members of the estimated school revenue balances expected to be held on 31st March 2018 and 31st March 2019 as forecast by schools in June 2016.
- 1.6 These proposals contribute towards delivering the Council Vision Priority "Offer education opportunities that lead to the right skills and right jobs in the right places."

2. Recommendations

- 2.1 The Schools Forum is recommended to:
 - Note the final 31st March 2016 school revenue balances compared with the estimated position as forecast by schools in December 2015. (para. 3.6 – 3.11 and Table 1)
 - Note the planned use of schools' surplus balances brought forward at 1st April 2016 and the schools' committed use of these balances in 2016/17 (para 3.16 - 3.18 Table 2).

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

Monitoring of School Balances

Schools Forum

Date: 18th October 2016

- Note the schools projected 31st March 2017 surplus balances and the schools' committed use of these balances in 2017/18 (para. 3.16 – 3.18 Table 2).
- Note that based on the survey forms received nineteen schools plan to hold uncommitted balances on 31st March 2017 which exceed the target per pupil values agreed by the Schools Forum (para. 3.19 – 3.20).
- Note the analysis of schools' planned use of March 2016 surplus balances in 2016/17 (para 3.21 Table 3).
- Note the indicative future balances to be held by schools at 31st March 2018 and 31st March 2019, taken from the three year budget plans submitted by schools in June 2016 (para 3.22 – 3.24 Table 4).
- Note the number of schools forecasting number of schools forecasting low balances on 31st March 2017, 31st March 2018 and 31st March 2019 (para. 3.25 – 3.27 Table 5).
- Note the school balances claw back mechanism remains in place and the circumstances that need to apply for it to be implemented by the LA available (para 3.28 – 3.31).

3. Background

- 3.1 The LA fully supports the principle that schools should hold a reasonable level of balances, which may be built up over a number of years for strategic purposes as well as providing a degree of contingency funding for unexpected costs or funding reductions. At the same time the Forum has agreed that Schools should be challenged and held accountable for the level of balances they hold.
- 3.2 Schools are encouraged to embed effective financial management procedures so that their forecasting of year-end balances is accurate and they have a clear understanding of the resources available to them. Schools are measured on how effective they are and this report provides a summary of the schools' estimated 2015/16 year-end balances compared to their actual 2015/16 year-end balances.

Control of Balances Scheme

- 3.3 The main focus of the LA's control of balances scheme is to improve forecasting and encourage schools with surplus balances to utilise them effectively for the benefit of pupils already in school as is expected by Department for Education (DfE). It is also very important for schools with relatively low balances to undertake accurate forecasting to avoid them encountering a deficit position.
- 3.4 The balances control scheme is made up as follows:

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

Monitoring of School Balances

Schools Forum

Date: 18th October 2016

- Schools are asked to project their closing year-end balance in December and these estimates are compared to the initial estimates submitted when annual budgets were set in June. (This information is reported to Schools Forum in March).
- After the year end when final school balances are quantified these values are compared to schools December estimates. Explanations have been sought from those schools whose estimates proved to be inaccurate as measured against the parameters agreed by the Forum which are proportionate to school budgets. (This information has been included in today's report).
- After setting their new year budget each June schools are asked to provide a summary of how and when they are planning to utilise their brought forward balances via a balances return. The LA reviews these plans to ensure funds are being committed against the areas which were approved by the Schools Forum and whether resulting uncommitted balances are in line with agreed target levels per pupil. (This is the subject of today's report).

- 3.5 The LA finance and internal audit teams also assess whether committed balances are actually being spent in accordance with school plans on an on-going basis, targeting specific schools which are exhibiting signs of poor financial health and/or are being audited and/or are of concern to the schools improvement team

Detail

31st March 2016 actual revenue balances

- 3.6 The initial part of the balances control scheme measures the effectiveness of schools in forecasting their year end balances. This exercise was completed by all maintained schools in December 2015 and estimates have been compared with final figures arising from the school close down process in April 2016.
- 3.7 The local scheme has a range of actions for the LA to follow depending upon the significance of the variance between final and forecast balances.
- 3.8 Based on the difference between March 2016 actuals and December 2015 forecasts the results are in Table 1:

Monitoring of School Balances

Schools Forum

Date: 18th October 2016

Table 1 – Monitoring the accuracy of School financial forecasting			
Sector	Outturn compared to December Estimate	LA Assessment / Action	No.
Small / Medium Primary i.e. ISB up to £1.200m	Within £25k	• School highly commended	13
	Within £50k	• OK – reasonable accuracy	7
	Above £50k	• Review required understanding reasons – commentary provided to Schools Forum. • Supportive intervention by Finance/Audit team to help improve forecasting process. Potential Claw back after 2nd breach - where overall balances exceed 8% of annual funding	0
Large Primary i.e. ISB above £1.201m	Within £40k	• School highly commended	7
	Within £80k	• OK – reasonable accuracy	4
	Above £80k	• Review required understanding reasons – commentary provided to Schools Forum. • Supportive intervention by Finance/Audit team to help improve forecasting process. Potential Claw back after 2nd breach - where overall balances exceed 5% of annual funding	2
Secondary	Within £50k	• School highly commended	0
	Within £100k	• OK reasonable accuracy	1
	Above £100k	• Review required understanding reasons – commentary provided to Schools Forum. • Supportive intervention by Finance/Audit team to help improve forecasting process. Potential Claw back after 2nd breach - where overall balances exceed 2% of annual funding	0
Special and PRU	Within £40k	• School highly commended	6
	Within £80k	• OK reasonable accuracy	0
	Above £80k	• Review required understanding reasons – commentary provided to Schools Forum. • Supportive intervention by Finance/Audit team to help improve forecasting process Potential Claw back after 2nd breach - where overall balances exceed 5% of annual funding	0

- 3.9 Table 1 demonstrates that the majority (26 of 40 or 65%) of Swindon maintained schools were effective and are highly commended by the LA in forecasting their final 31st March 2016 positions when providing their projections in December. This is higher than the equivalent position reported to Schools Forum in July 2015 when 53% of schools were highly commended following closure of the 2014/15 accounts (adjusted from 55% to remove recent academy converters).

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

Monitoring of School Balances

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- 3.10 The LA has contacted the two schools whose estimates proved inaccurate and is encouraged that, where closing balances were higher than anticipated, this mostly related to staff long term absence and delays in premises improvement schemes which resulted in payments falling after, rather than before, the year end.
- 3.11 A summary showing the position across all schools is attached at **Appendix A**. The level of each schools opening balances as at 1st April 2015 are also shown. One maintained school and one Special Resource Provision (SRP) were in deficit at the start and end of the 2015/16 financial year. Overall year end revenue balances of £4.7m are £0.945m (25%) higher than school forecasts provided in December. (These totals exclude two schools where conversion to academy status occurred during the previous financial year).

Members of the Schools Forum are now asked to:

- **Note the final 31st March 2016 school revenue balances compared with the estimated position as forecast by schools in December 2015**

Narrative explanations

- 3.12 The two schools with a “Red” forecasting rating were contacted and asked to provide Schools Forum with a narrative explanation and the explanations provided by the schools are below:
- 3.12.1 Even Swindon – Actual balance £381k (£204k above forecast)
- Due to long term sick absence of a senior member of staff, projects that had been planned were not able to take place during the financial year but have now been completed during summer 2016. The school received £40k more trigger funding than budgeted, this funding was received after the December return and could not be spent effectively before year end
- 3.12.2 Oaktree Primary – Actual balance £161k (£82k above forecast)
- Planned projects were delayed and not completed before year-end but have been completed over the summer holidays, hence the outstanding Purchase Order total carried forward. There were also savings in TA costs since the original forecast form was submitted.
- 3.13 It is important to acknowledge that forecasting is only one indication of how well schools are managing their balances and further information on school balances is provided later in the report.
- 3.14 Devolved Formula Capital (DFC) balances held by maintained schools can be accumulated by schools for up to 3 years to support capital expenditure on defined

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areas such as premises improvements or ICT hardware, although the levels of DFC were substantially cut as part of the public sector austerity programme in 2010.

- 3.15 The level of DFC held doesn't form part of the LAs financial health assessment of schools but the LA would expect these balances to be held for specific purposes and not to be excessive.

Analysis of 2016/17 Estimated Year End Balances Returns

- 3.16 The LA is pleased to report that the balance returns were included within the budget workbooks and therefore forms have been received from all schools. A summary of the planned usage of surplus balances from 2015/16 and the projected year end position and planned usage of surplus balances for 2016/17 is provided in table 2 below:

Table 2 – Summary of balances and value of usage					
Total opening balances brought forward 1 st April 2016	Value committed for use in 2016/17	Sector	Total estimated 31 st March 2017 balances	Value committed for use in 2017/18	Value uncommitted school balances expected at 31 st March
£3,568,528	£1,137,638	Primary	£2,116,183	£533,070	£1,583,113
£470,880	£0	Secondary	£383,900	£381,889	£2,011
£529,069	£173,532	Special	£512,744	£178,762	£333,982
£169,097	£40,000	PRU	£141,897	£118,000	£23,897
£4,737,574	£1,351,170	Totals	£3,154,724	£1,211,721	£1,943,003
100%	28.52%	%	100%	38.41%	61.59%

- 3.17 The above table is based entirely on submissions from schools that have been reviewed by the LA as part of its statutory role. A summary of the schools' returns is attached at **Appendix B**. There is a strong indication that overall balances are expected to continue to fall for the next three years from the value carried forward at the end of 2015/16.
- 3.18 It is relevant to note that the school balances information refer only to maintained schools and exclude Academies.

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

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Members of the Schools Forum are now asked to:

- **Note the planned use of schools' surplus balances brought forward at 1st April 2016 and the schools' committed use of these balances in 2016/17**
- **Note the schools projected 31st March 2017 surplus balances and the schools' committed use of these balances in 2017/18**

3.19 Based on the survey forms received 19 schools plan to hold uncommitted balances on 31st March 2017 which exceed the target per pupil values previously agreed by the Forum of:

- Primary settings £120 per pupil (minimum of £20,000)
- Secondary settings £100 per pupil (minimum of £60,000)
- Special/PRU £800 per pupil (minimum of £40,000)

Five schools provided a narrative explanation on their balances return regarding the exceptional circumstances for holding higher levels of uncommitted balances per pupil.

3.20 Other general observations from balance returns received are:

3.20.1 Nine primary schools anticipate carrying forward uncommitted balances of less than £20,000 by 31st March 2017 which, if realistic, would imply that the LA will need to work very closely with these schools to reduce their spending. The LA has sent a letter to all of these schools.

3.20.2 Two schools plan to use brought forward balances to support their 2016/17 budget and the LA finance manager will contact these schools to arrange visits during the autumn term.

3.20.3 Four schools provided a narrative to explain the variance between the school's estimated balance in December and the actual balance to carry forward in March.

Members of the Schools Forum are now asked to:

- **Note that based on the balance returns received nineteen schools plan to hold uncommitted balances on 31st March 2017 which exceed the target per pupil values agreed by the Schools Forum**

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

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- 3.21 Analysis of the schools' planned use of surplus balances during 2016/17 is shown in table 3 below:

Table 3 – Planned use of March 2016 surplus balances during 2016/17		
Reason	Number of incidences	Total planned expenditure
Specific Premises Improvement	13	£384,900
Provision for unplanned responsive premises maintenance works	4	£80,270
ICT Investment	11	£164,300
Workforce restructuring one off costs	2	£56,000
Commercial / Traded Activities	2	£4,166
Funds on behalf of other clusters	0	£0
Other specific projects	14	£297,310
Staff Absence Reserve	7	£130,500
Purchase orders for goods ordered but not received by year end	14	£193,089
Setting the new year budget	2	£40,635
Total	26 schools	£1,351,170

Members of the Schools Forum are now asked to:

- **Note the analysis of schools' planned use of March 2016 surplus balances in 2016/17**

Indicative school revenue balances from three year budget plans

- 3.22 All maintained schools submitted budget workbooks showing their planned income and expenditure over the three financial years 2016/17, 2017/18 and 2018/19.
- 3.23 Table 4 below shows the actual revenue balances brought forward from 2014/15 and 2015/16 and the indicative revenue balances for 2016/17, 2017/18 and 2018/19 and the number of schools predicting a deficit balance in any of the financial years. The deficit calculation includes the balance of the school plus any SRP or commissioned service but excludes community funds held.
- 3.24 The table shows that the revenue balances held by schools are expected to fall significantly over the next three years.

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

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Table 4 – Indicative school revenue balances					
Sector	31/03/15 Actual	31/03/16 Actual	31/03/17 Indicative	31/03/18 Indicative	31/03/19 Indicative
Primary	£3,521,928	£3,568,528	£2,116,183	£1,442,407	£566,957
Secondary	£480,324	£470,880	£383,900	£2,010	(£601,413)
Special / PRU	£627,136	£698,166	£654,641	£580,360	£510,384
Total	£4,629,388	£4,737,574	£3,154,724	£2,024,777	£475,928
Change £		£108,186	(£1,582,850)	(£1,129,947)	(£1,548,849)
Change %		2.34%	(33.41%)	(35.82%)	(76.49%)
<i>Schools predicting a deficit balance</i>	1	1	2	1	6

3.25 Table 5 below shows the number of schools forecasting excess uncommitted balances on 31st March 2017. It also shows the number of schools forecasting low balances on 31st March 2017, 31st March 2018 and 31st March 2019.

Table 5 - Forecast revenue balances 2016/17 to 2018/19						
Sector	Target per pupil values	Forecast excess uncommitted balances at 31st March 2017	Minimum balance expected to be held	Forecasting low/deficit balances at		
				31st March 2017	31st March 2018	31st March 2019
Primary	£120	16	£20,000	9	9	21
Secondary	£100	0	£60,000	0	1	1
Special / EOTAS	£800	3	£40,000	1	2	3
Total	-	19	-	10	12	25

3.26 **Appendix B** shows the estimated balances to be held by schools at 31st March 2017, 31st March 2018 and 31st March 2019, taken from the three year budget plans submitted by schools in June 2016.

3.27 General observations on the budget plans submitted by schools are:

- Two schools expect to carry forward a deficit at the end of financial year 2016/17, one deficit is related to the SRP unit. The other school is being supported by the LA finance team.
- One school submitted plans showing a deficit balance at the end of financial year 2017/18 and six by the end of 2018/19. If the plans are realistic then the LA may need to work closely with a number of schools over the next two years to help them to reduce their expenditure. Where schools operate an SRP or

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run a commissioned service, the combined balance is taken into account in determining whether a deficit balance is predicted.

- The LA finance manager has already visited a number of schools predicting low or deficit balances and plans to continue to arrange visits during the autumn term.
- A large proportion of School's have submitted budget templates showing in year structural deficits that are unsustainable as they lead to low or very low balances at the end of 2018/19. An in year structural deficit is where in year expenditure (excluding committed expenditure funded by brought forward balances) exceeds in year income, the in year income does not include any balances brought forward.

Members of the Schools Forum are now asked to:

- **Note the indicative future balances to be held by schools at 31st March 2018 and 31st March 2019, taken from the three year budget plans submitted by schools in June 2016**
- **Note the number of schools forecasting number of schools forecasting low balances on 31st March 2017, 31st March 2018 and 31st March 2019**

School balances claw back mechanism

- 3.28 Given the uncertainty of medium term school funding and the need to implement substantial changes arising from the DfE school funding reform programme, the LA has not been overly concerned with the level of school balances over the last year. The focus of the LA balances control scheme is still essentially to encourage effective financial planning so that all schools have an accurate understanding of whatever levels of balances they hold. In line with DfE expectations the local scheme has scope for the LA to claw back excessive balances which would then be made available for distribution across other schools in the following years funding allocations.
- 3.29 The LA therefore retains the right to implement claw backs but only in circumstances where a school
- Is consistently inaccurate (Red rated) in forecasting their year end balances for 2 consecutive years and does not provide adequate explanations
- and
- Holds relatively high balances .i.e. above 8%, 5% or 2% of ISB depending on the size of the school budget.

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

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- 3.30 Where the LA believes that clawbacks may be applicable schools will be given an opportunity to defend their positions prior to any claw backs being proposed to the Schools Forum. No school has been inaccurate over each of the last two years. Forum Members are advised that proposing claw backs is not the LAs preferred course of action but it would be inappropriate and unfair if any school had high balances which were not being adequately managed when funds could be used to raise standards in that school or re-distributed to other schools where they could be spent on current pupils.
- 3.31 It is important to acknowledge that forecasting is only one indication of how well schools are managing their balances and further information on school balances will be provided throughout the year to the Schools Forum.

Members of the Schools Forum are now asked to:

- **Note the school balances claw back mechanism remains in place and the circumstances that need to apply for it to be implemented by the LA**

4. Alternative Options

- 4.1 There are no alternative options presented in this report.

5. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 5.1 LA's and their Schools Forums are required to monitor the level of balances held by schools and to ensure local arrangements are in place which ensure excessive balances are not held

Legal and Human Rights Implications

- 5.2 There are no legal or human rights implications arising from this report.

All Other Implications (including Staff, Sustainability, Health, Rural, Crime and Disorder)

- 5.3 This report does not make any recommendations that affect these areas.

Diversity Impact Assessment

- 5.4 A Diversity Impact Assessment (DIA) has not been done as this report does not make any recommendations that affect services.

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

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Risk Management

- 5.5 The key risks arising from this report are that ineffective monitoring by schools could lead to them encountering financial difficulties. Conversely the LA would not wish to see any individual school accruing excessive surplus balances which could have been used to improve standards and attainment for pupils currently in school.

6. Consultees

- 6.1 The Board Director Resources (Section 151 Officer), Director of Law and Democratic Services (Monitoring Officer) and Board Director Commissioning (Director of Children Services) are consulted in respect of all reports.

7. Background Papers

- 7.1 None

8. Appendices

- 8.1 Appendix A - December projected compared to March 2016 actual balances.
- 8.2 Appendix B - Summary of School Balance Returns.

Schools	Opening Balance 1st April 2015	Forecast Revenue Balances December 2015	Final Revenue Balances 31st March 2016	Variance between December Forecasts and actual balances	School Size	RAG Rating 2015/16	RAG Rating 2014/15	RAG Rating 2013/14
Abbey Meads Community Primary School	£116,404	£138,791	£131,407	(£7,384)	LP	G	G	A
Abbey Meads Community Primary School-Butterflies	£9,748	£6,907	£13,140	£6,233	n/a	n/a	n/a	n/a
Abbey Meads Community Primary School-Sunshine Club	£43,669	£63,038	£55,717	(£7,321)	n/a	n/a	n/a	n/a
Abbey Meads Community Primary School-Community	£127,412	£134,526	£116,355	(£18,171)	n/a	n/a	n/a	n/a
Beechcroft Infant School	£81,467	£77,483	£102,810	£25,327	SMP	A	A	R
Bishopstone Church of England Primary School	£34,231	£19,674	£32,029	£12,355	SMP	G	G	G
Bridlewood Primary School	£101,456	£88,689	£110,121	£21,432	SMP	G	A	G
Brook Field Primary School	£162,300	£158,562	£170,778	£12,216	LP	G	A	A
Catherine Wayte Primary School	£208,357	£171,851	£166,207	(£5,644)	LP	G	A	G
Chiseldon Primary School	£19,077	£10,277	£10,800	£523	SMP	G	G	G
Colebrook Junior School	£89,220	£79,929	£112,849	£32,920	SMP	A	A	R
Covingham Park Primary School	£71,236	£34,626	£75,794	£41,168	SMP	A	A	G
East Wichel Primary School	£71,454	£39,417	£61,072	£21,655	SMP	G	G	R
Eldene Primary School	£48,269	£28,619	£34,226	£5,607	LP	G	G	G
Eldene Primary School SRP (CLD)	£33,137	£66,472	£59,171	(£7,301)	n/a	n/a	n/a	n/a
Even Swindon Primary School	£170,309	£157,379	£366,219	£208,840	LP	R	A	A
Even Swindon Primary School - SRP Outreach	£0	£1,200	£2,758	£1,558	n/a	n/a	n/a	n/a
Even Swindon Primary School SRP (SSL)	£0	£18,800	£12,649	(£6,151)	n/a	n/a	n/a	n/a
Grange Infant Community School	£171,146	£154,062	£196,489	£42,427	SMP	A	R	A
Grange Junior School	£147,094	£181,290	£207,319	£26,029	SMP	A	A	G
Greenmeadow Primary School	£114,865	£116,630	£133,021	£16,391	SMP	G	G	A
Haydonleigh Primary School	£67,864	£60,000	£103,344	£43,344	LP	A	G	G
Lainesmead Primary School	£55,981	£28,196	£69,703	£41,507	LP	A	G	A
Lawn Primary School	£53,016	£39,366	£28,561	(£10,805)	LP	G	G	G
Liden Primary School	£31,287	£36,226	£32,623	(£3,603)	SMP	G	G	G
Nythe Primary School	£53,112	£17,320	£32,730	£15,410	SMP	G	G	A
Oakhurst Community Primary School	£146,806	£159,504	£160,906	£1,402	LP	G	G	A
Oaktree Nursery and Primary School	£114,509	£79,163	£161,860	£82,697	LP	R	A	G
Oliver Tomkins Church of England Infant School	£46,867	£19,955	£16,260	(£3,695)	SMP	G	A	G
Oliver Tomkins Church of England Junior School	£78,907	£45,708	£63,911	£18,203	SMP	G	R	G
Orchid Vale Primary School	£65,813	£27,853	£53,512	£25,659	SMP	A	G	R
Red Oak Primary School	£92,341	£129,553	£165,192	£35,639	LP	G	R	G
Robert le Kyng Primary School	£158,721	£140,913	£99,885	(£41,028)	LP	A	A	G
Robert le Kyng Primary School SRP (PD)	(£41,172)	(£81,146)	(£84,879)	(£3,733)	n/a	n/a	n/a	n/a
South Marston Church of England Primary School	£95,713	£48,591	£51,327	£2,736	SMP	G	A	A
St Francis Primary School	£110,398	£130,802	£197,040	£66,238	LP	A	G	G
Wanborough Primary School	£43,284	£22,233	£49,135	£26,902	SMP	A	G	A
Westrop Primary School	£59,915	£70,736	£66,875	(£3,861)	SMP	G	G	A
Wroughton Infant School	£92,995	£60,407	£47,733	(£12,674)	SMP	G	A	G
Wroughton Junior School	£90,033	£63,495	£81,879	£18,384	SMP	G	G	G
Isambard Community School	£480,324	£387,701	£470,880	£83,179	SEC	A	R	G
EOTAS	£147,018	£150,465	£169,097	£18,632	PRU	G	G	R
Brimble Hill Special School	£199,588	£152,588	£177,722	£25,134	SPE	G	A	A
Crowdys Hill School	£258,161	£212,000	£224,369	£12,369	SPE	G	G	R
St Lukes School	(£149,899)	(£113,603)	(£96,699)	£16,904	SPE	G	A	R
The Chalet School	£70,904	£58,343	£57,819	(£524)	SPE	G	G	A
Uplands - Pre and post 16	£101,365	£96,015	£108,134	£12,119	SPE	G	G	G
Uplands ASC	£0	£0	£57,332	£57,332	n/a	n/a	n/a	n/a
Uplands VI & AT	£1,253	£1,669	£392	(£1,277)	n/a	n/a	n/a	n/a
Total Maintained Schools	£4,345,951	£3,792,275	£4,737,574	£945,299	R	2	4	7
				24.9%	A	12	15	13
					G	26	21	20
					Total	40	40	40
					G %	65%	53%	50%

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July 2016		Part B - Planned Use of 2015-16 Surplus Balances during 2016-17								
Name of School:	Specific Premises Improvements	Provision for unplanned responsive premises maintenance works	ICT Investment	Workforce one off costs	Commercial / Traded Activities	Other specific projects	Staff Absence Reserve	Purchase orders raised before year end but goods not delivered	Setting the new year budget Entering a value against this line could result in the LA contacting the school	Total Committed Balances to be spent on specific items in 2016/17
	£	£	£	£	£	£	£	£	£	£
Abbey Meads Community Primary			£30,000							£30,000
Abbey Meads -Butterflies										£0
Abbey Meads -Sunshine Club										£0
Abbey Meads -Community										£0
Beechcroft Infant School						£20,050		£21,821		£41,871
Bishopstone Church of England Primary										£0
Bridlewood Primary School	£15,000					£30,000	£15,000	£2,418		£62,418
Brook Field Primary School	£35,101	£10,000				£9,651		£709		£55,461
Catherine Wayte Primary School	£10,000	£10,000	£2,500			£12,000	£10,000			£44,500
Chiseldon Primary School										£0
Colebrook Junior School			£5,000			£39,154				£44,154
Covingham Park Primary School										£0
East Wichel Primary School			£32,000							£32,000
Eldene Primary School										£0
Eldene Primary School SRP (CLD)	£45,000									£45,000
Even Swindon Primary School	£13,000	£50,000			£1,841		£30,000	£75,476		£170,317
Even Swindon Primary School - SRP										£0
Even Swindon Primary School SRP (SSL)										£0
Grange Infant Community School	£51,019		£23,300			£16,463		£2,021		£92,803
Grange Junior School	£59,000	£10,270	£15,000							£84,270
Greenmeadow Primary School					£2,325	£57,200	£20,000	£3,798		£83,323
Haydonleigh Primary School	£9,000		£5,000			£18,000		£2,500	£30,000	£64,500
Lainesmead Primary School			£6,500			£28,000				£34,500
Lawn Primary School										£0
Liden Primary School										£0
Nythe Primary School	£7,780							£2,770		£10,550
Oakhurst Community Primary School										£0
Oaktree Nursery and Primary School								£32,554		£32,554
Oliver Tomkins Church of England										£0
Oliver Tomkins Church of England				£18,000						£18,000
Orchid Vale Primary School						£20,224		£3,289		£23,513
Red Oak Primary School										£0
Robert le Kyng Primary School	£35,000					£10,000				£45,000
Robert le Kyng Primary School SRP (PD)										£0
South Marston Church of England										£0
St Francis Primary School							£8,000	£17,796		£25,796
Wanborough Primary School			£4,000					£9,540	£10,635	£24,175
Westrop Primary School	£15,000		£6,000	£38,000		£7,875				£66,875
Wroughton Infant School										£0
Wroughton Junior School						£1,267		£4,791		£6,058
Isambard Community School										£0
EOTAS	£40,000									£40,000
Brimble Hill Special School						£27,426	£32,500	£13,606		£73,532
Crowdys Hill School	£50,000		£35,000				£15,000			£100,000
St Lukes School										£0
The Chalet School										£0
Uplands - Pre and post 16										£0
Uplands VI & AT										£0
Uplands ASC										£0
Total Maintained Schools	£384,900	£80,270	£164,300	£56,000	£4,166	£297,310	£130,500	£193,089	£40,635	£1,351,170
Number of incidences	13	4	11	2	2	14	7	14	2	26

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July 2016					
Part C - Estimated 2016-17 revenue balance carried forward to 2017-18					
Name of School:	Total Revenue Balances bfwf from 2015-16 (Shown in B01 Committed & B02 (Uncommitted) in SIMS Exc. Capital	Expected Total Revenue Income 2016-17 (as per your schools 2016-17 Budget Template)	Total	Expected Revenue Expenditure 2016-17 (as per your schools 2016-17 Budget template)	Estimated School Revenue Balance to be carried forward to 2017-18
	£	£	£	£	£
Abbey Meads Community Primary	£131,407	£1,825,783	£1,957,189	£1,898,408	£58,781
Abbey Meads -Butterflies	£13,140	£245,633	£258,773	£257,883	£890
Abbey Meads -Sunshine Club	£55,717	£75,600	£131,317	£69,065	£62,252
Abbey Meads -Community	£116,355	£65,600	£181,955	£67,523	£114,432
Beechcroft Infant School	£102,810	£1,151,754	£1,254,564	£1,205,512	£49,053
Bishopstone Church of England Primary	£32,029	£328,494	£360,523	£333,692	£26,831
Bridlewood Primary School	£110,121	£1,161,106	£1,271,227	£1,213,679	£57,548
Brook Field Primary School	£170,778	£1,567,772	£1,738,550	£1,626,831	£111,719
Catherine Wayte Primary School	£166,207	£1,610,760	£1,776,967	£1,625,604	£151,363
Chiseldon Primary School	£10,800	£797,556	£808,356	£804,074	£4,282
Colebrook Junior School	£112,849	£672,032	£784,881	£694,669	£90,212
Covingham Park Primary School	£75,794	£1,440,521	£1,516,315	£1,494,383	£21,932
East Wichel Primary School	£61,072	£1,695,763	£1,756,835	£1,720,145	£36,690
Eldene Primary School	£34,226	£1,588,049	£1,622,275	£1,569,202	£53,073
Eldene Primary School SRP (CLD)	£59,171	£205,910	£265,081	£250,099	£14,982
Even Swindon Primary School	£366,219	£2,786,331	£3,152,550	£2,924,895	£227,655
Even Swindon Primary School - SRP	£2,758	£22,200	£24,958	£22,746	£2,212
Even Swindon Primary School SRP (SSL)	£12,649	£316,401	£329,050	£327,210	£1,840
Grange Infant Community School	£196,489	£1,053,500	£1,249,989	£1,162,447	£87,542
Grange Junior School	£207,319	£1,366,160	£1,573,479	£1,359,070	£214,409
Greenmeadow Primary School	£133,021	£1,140,237	£1,273,258	£1,157,951	£115,307
Haydonleigh Primary School	£103,344	£2,072,092	£2,175,436	£2,142,586	£32,850
Lainesmead Primary School	£69,703	£1,953,691	£2,023,394	£1,989,490	£33,904
Lawn Primary School	£28,561	£1,725,354	£1,753,915	£1,728,841	£25,074
Liden Primary School	£32,623	£1,626,928	£1,659,551	£1,656,779	£2,772
Nythe Primary School	£32,730	£773,850	£806,580	£798,596	£7,983
Oakhurst Community Primary School	£160,906	£1,822,486	£1,983,392	£1,920,538	£62,854
Oaktree Nursery and Primary School	£161,860	£2,097,280	£2,259,140	£2,220,370	£38,770
Oliver Tomkins Church of England	£16,260	£989,628	£1,005,888	£990,356	£15,532
Oliver Tomkins Church of England	£63,911	£956,181	£1,020,092	£1,012,044	£8,048
Orchid Vale Primary School	£53,512	£1,686,721	£1,740,233	£1,727,979	£12,254
Red Oak Primary School	£165,192	£3,243,817	£3,409,009	£3,293,945	£115,064
Robert le Kyng Primary School	£99,885	£1,662,532	£1,762,417	£1,700,379	£62,038
Robert le Kyng Primary School SRP (PD)	(£84,879)	£297,085	£212,206	£304,384	(£92,178)
South Marston Church of England	£51,327	£596,123	£647,450	£601,270	£46,180
St Francis Primary School	£197,040	£1,743,592	£1,940,632	£1,796,948	£143,684
Wanborough Primary School	£49,135	£840,928	£890,063	£875,373	£14,691
Westrop Primary School	£66,875	£1,157,975	£1,224,850	£1,224,850	£0
Wroughton Infant School	£47,733	£1,076,495	£1,124,228	£1,114,898	£9,330
Wroughton Junior School	£81,879	£1,498,282	£1,580,161	£1,505,833	£74,328
Isambard Community School	£470,880	£5,524,931	£5,995,811	£5,611,911	£383,900
EOTAS	£169,097	£2,067,000	£2,236,097	£2,094,200	£141,897
Brimble Hill Special School	£177,722	£1,856,035	£2,033,757	£1,915,401	£118,356
Crowdys Hill School	£224,369	£2,991,863	£3,216,232	£2,943,255	£272,978
St Lukes School	(£96,699)	£1,851,311	£1,754,612	£1,813,169	(£58,556)
The Chalet School	£57,819	£1,222,580	£1,280,399	£1,230,137	£50,262
Uplands - Pre and post 16	£108,134	£4,275,506	£4,383,640	£4,270,716	£112,924
Uplands VI & AT	£392	£242,150	£242,542	£242,275	£267
Uplands ASC	£57,332	£430,463	£487,795	£471,282	£16,513
Total Maintained Schools	£4,737,574	£69,400,041	£74,137,615	£70,982,891	£3,154,724
Number of incidences					10

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July 2016		Part D - Planned Use of School Surplus 2016-17 Balances in (i) 2017-18 and (ii) beyond							
Name of School:	Specific Premises Improvements	Provision for unplanned responsive premises maintenance works	ICT Investment	Other specific projects	Staff Absence Reserve	Setting the new year budget	i Total Committed Balances to be spent on specific items in 2017-18	ii Planned use of March 2017 balances beyond 2017-18	ii Total Committed Balances to be spent on specific items in beyond 2017-18 - not included in Part E
	£		£	£		£	£	£	£
Abbey Meads Community Primary							£0		£0
Abbey Meads -Butterflies							£0		£0
Abbey Meads -Sunshine Club	£50,000						£50,000	£10,000	£10,000
Abbey Meads -Community							£0	£114,432	£114,432
Beechcroft Infant School				£10,953			£10,953		£0
Bishopstone Church of England Primary							£0		£0
Bridlewood Primary School				£15,000			£15,000		£0
Brook Field Primary School			£29,000				£29,000		£0
Catherine Wayte Primary School				£5,000			£5,000	£5,000	£5,000
Chiseldon Primary School							£0		£0
Colebrook Junior School			£5,000	£38,000			£43,000		£0
Covingham Park Primary School							£0		£0
East Wichel Primary School							£0		£0
Eldene Primary School						£17,877	£17,877	£12,902	£12,902
Eldene Primary School SRP (CLD)							£0		£0
Even Swindon Primary School		£50,000	£50,000		£30,000		£130,000		£0
Even Swindon Primary School - SRP							£0		£0
Even Swindon Primary School SRP (SSL)							£0		£0
Grange Infant Community School	£22,700		£1,800				£24,500		£0
Grange Junior School	£80,000	£21,160	£30,900				£132,060		£0
Greenmeadow Primary School							£0	£20,000	£20,000
Haydonleigh Primary School							£0		£0
Lainesmead Primary School							£0		£0
Lawn Primary School							£0		£0
Liden Primary School							£0		£0
Nythe Primary School							£0		£0
Oakhurst Community Primary School							£0		£0
Oaktree Nursery and Primary School							£0		£0
Oliver Tomkins Church of England				£6,000			£6,000		£0
Oliver Tomkins Church of England							£0		£0
Orchid Vale Primary School				£13,920			£13,920		£0
Red Oak Primary School							£0		£0
Robert le Kyng Primary School	£25,000						£25,000		£0
Robert le Kyng Primary School SRP (PD)							£0		£0
South Marston Church of England				£17,760			£17,760		£0
St Francis Primary School				£13,000			£13,000		£0
Wanborough Primary School							£0		£0
Westrop Primary School							£0		£0
Wroughton Infant School							£0		£0
Wroughton Junior School							£0		£0
Isambard Community School						£381,889	£381,889		£0
EOTAS	£90,000			£28,000			£118,000		£0
Brimble Hill Special School				£18,762			£18,762		£0
Crowdys Hill School	£100,000		£60,000				£160,000		£0
St Lukes School							£0		£0
The Chalet School							£0		£0
Uplands - Pre and post 16							£0		£0
Uplands VI & AT							£0		£0
Uplands ASC							£0		£0
Total Maintained Schools	£367,700	£71,160	£176,700	£166,395	£30,000	£399,766	£1,211,721	£162,334	£162,334
Number of incidences	6	2	6	10	1	2			

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July 2016	Part E - Summary of Total Balances and General Uncommitted Balances					Forecast future years	
Name of School:	Part C - Estimated 2016-17 school revenue balance to be carried forward to 2017-18	Part D - i Planned use of school 2016-17 surplus balances in 2017-18	Value of uncommitted school balances expected to be held 31st March 2017	October 2015 school census pupil numbers	Total uncommitted school balances held per pupil	Value of school balances expected to be held 31st March 2018	Value of school balances expected to be held 31st March 2019
	£	£	£	NOR	£	£	£
Abbey Meads Community Primary	£58,781	£0	£58,781	414.0	£142	£48,774	(£355)
Abbey Meads -Butterflies	£890	£0	£890	-	n/a	£890	£890
Abbey Meads -Sunshine Club	£62,252	£50,000	£12,252	-	n/a	£18,670	£14,994
Abbey Meads -Community	£114,432	£0	£114,432	-	n/a	£112,878	£111,012
Beechcroft Infant School	£49,053	£10,953	£38,100	247.0	£154	£28,012	£1,165
Bishopstone Church of England Primary	£26,831	£0	£26,831	43.0	£624	£25,090	£15,552
Bridlewood Primary School	£57,548	£15,000	£42,548	267.0	£159	£22,038	(£18,781)
Brook Field Primary School	£111,719	£29,000	£82,719	408.0	£203	£57,429	£7,872
Catherine Wayte Primary School	£151,363	£5,000	£146,363	415.0	£353	£79,836	(£51,440)
Chiseldon Primary School	£4,282	£0	£4,282	164.0	£26	£26,560	£25,245
Colebrook Junior School	£90,212	£43,000	£47,212	161.0	£293	£48,903	£21,893
Covingham Park Primary School	£21,932	£0	£21,932	372.0	£59	£2,720	£5,704
East Wichel Primary School	£36,690	£0	£36,690	315.0	£116	£37,784	£35,734
Eldene Primary School	£53,073	£17,877	£35,196	326.0	£108	£15,363	£12,624
Eldene Primary School SRP (CLD)	£14,982	£0	£14,982	10.0	n/a	£13,916	£13,312
Even Swindon Primary School	£227,655	£130,000	£97,655	575.0	£170	£78,816	£36,246
Even Swindon Primary School - SRP	£2,212	£0	£2,212		n/a	£3,702	£4,634
Even Swindon Primary School SRP (SSL)	£1,840	£0	£1,840	15.0	n/a	£2,219	£2,090
Grange Infant Community School	£87,542	£24,500	£63,042	260.0	£242	£44,944	£347
Grange Junior School	£214,409	£132,060	£82,349	366.0	£225	£200,622	£141,383
Greenmeadow Primary School	£115,307	£0	£115,307	295.0	£391	£70,758	(£1,167)
Haydonleigh Primary School	£32,850	£0	£32,850	526.0	£62	£3,999	£2,396
Lainesmead Primary School	£33,904	£0	£33,904	396.0	£86	£28,542	£36,816
Lawn Primary School	£25,074	£0	£25,074	414.0	£61	£23,336	£18,556
Liden Primary School	£2,772	£0	£2,772	308.0	£9	£23,376	£32,121
Nythe Primary School	£7,983	£0	£7,983	154.0	£52	£18,095	£20,684
Oakhurst Community Primary School	£62,854	£0	£62,854	404.0	£156	£23,027	£5,756
Oaktree Nursery and Primary School	£38,770	£0	£38,770	330.0	£117	£28,870	£36,846
Oliver Tomkins Church of England	£15,532	£6,000	£9,532	173.0	£55	£14,918	£7,902
Oliver Tomkins Church of England	£8,048	£0	£8,048	183.0	£44	£15,334	£27,337
Orchid Vale Primary School	£12,254	£13,920	(£1,666)	354.0	(£5)	£19,181	£7,207
Red Oak Primary School	£115,064	£0	£115,064	494.0	£233	£157,595	£149,706
Robert le Kyng Primary School	£62,038	£25,000	£37,038	405.0	£91	£50,264	£3,172
Robert le Kyng Primary School SRP (PD)	(£92,178)	£0	(£92,178)	10.0	n/a	(£140,663)	(£194,557)
South Marston Church of England	£46,180	£17,760	£28,420	104.0	£273	£36,786	£3,579
St Francis Primary School	£143,684	£13,000	£130,684	444.0	£294	£94,722	£12,408
Wanborough Primary School	£14,691	£0	£14,691	208.0	£71	£5,325	£16,138
Westrop Primary School	£0	£0	£0	238.0	£0	£9,094	£39
Wroughton Infant School	£9,330	£0	£9,330	249.0	£37	£26,590	£709
Wroughton Junior School	£74,328	£0	£74,328	345.0	£215	£64,092	£1,188
Isambard Community School	£383,900	£381,889	£2,011	1,079.0	£2	£2,010	(£601,413)
EOTAS	£141,897	£118,000	£23,897	112.0	£213		
Brimble Hill Special School	£118,356	£18,762	£99,594	77.0	£1,293	£73,705	(£16,425)
Crowdys Hill School	£272,978	£160,000	£112,978	152.0	£743	£341,307	£427,737
St Lukes School	(£58,556)	£0	(£58,556)	77.0	(£760)	£2,256	£58,146
The Chalet School	£50,262	£0	£50,262	57.0	£882	£33,172	£13,109
Uplands - Pre and post 16	£112,924	£0	£112,924	138.0	£818	£121,786	£41,203
Uplands VI & AT	£267	£0	£267		n/a	(£4,248)	(£12,355)
Uplands ASC	£16,513	£0	£16,513		n/a	£12,382	(£1,031)
Total Maintained Schools	£3,154,724	£1,211,721	£1,943,003	12,084.0	> Excess per pupil balance	£2,024,777	£475,928
Number of incidences						12	25

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Schools Financial Value Standard Returns

**Schools Forum
2016**

Date: 18th October

Author:	Finance Manager – Education
Wards:	All
Locality Affected:	All
Parishes Affected:	All
Settings Affected:	All LA maintained schools and Pupil Referral Units

1. Purpose and Reasons

- 1.1 To update Schools Forum members on the findings from the review of the 2015/16 Schools Financial Value Standard (SFVS) self-assessments and suggest a consistent procedure for future returns.

2. Recommendations

- 2.1 The Schools Forum is asked to:
- Note that the LA is issuing guidance on how best to complete the SFVS return and future submissions should follow this guidance.
 - Note that the SFVS forms part of the LA's financial health check of schools and schools may be contacted to verify evidence in support their assessments.

3. Detail

Background

- 3.1 The Schools Financial Value Standard (SFVS) is in its fourth year of operation (having superseded the former Financial Management Standard in Schools assessment which was subject to external verification and withdrawn by DfE in November 2010).
- 3.2 Local authority maintained schools and pupil referral units (PRUs) were required to complete the SFVS and submit the assessment to the local authority by 31st March 2016.
- 3.3 The SFVS has been designed by the DfE with schools to help them in managing their finances and to give assurance to the Local Authority that they have secure financial management in place.
- 3.4 Governing bodies of maintained schools or management committees of pupil referral units (PRUs) have a formal responsibility for the financial management of their schools, and so the standard is primarily aimed at governors and management committees.

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

Schools Financial Value Standard Returns

**Schools Forum
2016**

Date: 18th October

3.5 The standard focuses on five main areas:

A - The Governing Body and School Staff

B - Setting the budget

C - Value for money

D - Protecting public money

E - Summary of agreed remedial action and timetable for reporting back

3.6 The requirements and expectations of governing bodies and management committees relating to the SFVS are now a part of the Financial Training for Governors programme which is provided by the LA finance and Internal Audit teams as part of the Governor Support Traded Service.

3.7 The evidence provided in the self-assessments is incorporated into the LA's financial health monitoring procedures which are used to identify schools that may require further LA challenge or support from the school improvement, finance and / or Internal Audit teams.

3.8 Although the assessment is not subject to external assessment, the LA Internal Audit Team will review returns and any supporting evidence as part of its annual internal audit programme and will look to verify evidence during school visits.

3.9 Local authorities are required to fill out the Schools Financial Value Standard (SFVS) Dedicated Schools Grant (DSG) Chief Financial Officer (CFO) assurance statement every year to cover all the maintained schools in their area. This assurance statement is returned annually to the Department for Education (DfE).

4. 2015/16 Review, actions and proposals for future returns

4.1 Thirty one SFVS submissions were returned to the LA by the 31st March 2016 deadline and the eight remaining returns were submitted shortly afterwards. All of the returns have subsequently been subject to an initial review. The standard had 25 questions to be completed with a yes/no/in-part answer and a column to include comments, evidence and proposed actions. It also has an area for remedial actions where the school believes areas could be strengthened.

4.2 The 25 questions cover a wide range of governance and internal control issues and the LA would not expect schools to include categorical 'Yes' scores against all areas. Table 1 below shows the numbers of schools that submitted self-assessments with only 'Yes' answers and those that included a number of 'Yes'/'No'/'In Part' answers submitted.

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Schools Financial Value Standard Returns

**Schools Forum
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Seven schools submitted returns that were missing the two new questions for 2015/16, numbers 8 and 9. These schools have been contacted and provided with a link to the correct assessment return for 2016/17. A number of the schools contacted have liaised with their Governing Body and submitted responses for these two questions.

Table 1 - SFVS 2015/16	Number of schools	Included 14/15 actions	Included 15/16 actions
'Yes' to all questions	18	-	-
'Yes', 'No' or 'In Part'	10	-	-
'Yes' or 'No'	3	-	-
'Yes' or 'In Part'	7	-	-
Total number of schools	38	1	24

- 4.3 Reviews have been undertaken on all returns and the findings will be used to inform the annual Internal Audit plan and the health-check process used within Finance. The reviews identified that schools have varying approaches to the completion of these returns and the quality and level of detail varied considerably. Stronger answers provided detailed responses and lists of evidence, In the LA's view a number of questions contained answers that lacked detailed evidence and the expectation is that they would lead to a response that was 'No' or 'In Part' rather than 'Yes'.
- 4.4 The LA would refer governors and management committees to the DfE website where guidance is available on the evidence that should be considered when completing the form, good practice and further support available to assist schools in addressing specific issues. There is no prescription of the level of evidence that the governing body and management committee should require but the governors and management committees need to be confident about their responses and to be assured that their mandatory obligations have been fulfilled. It will enable governors and management committees to more easily identify weaknesses or areas for challenge.
- 4.5 The following points will form the main part of LA guidance:
- 4.5.1 There are twenty five questions in Section A of the 2015/16 standard; schools should ensure they access the latest version from the DfE

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

Schools Financial Value Standard Returns

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website. A number of schools submitted returns which did not have the correct number of questions.

- 4.5.2 The governing body or management committee may delegate the consideration of the questions to finance or any other relevant committee but a detailed report should be provided to the full governing body or the management committee and the chair of governors or chair of the management committee must sign the completed form.
- 4.5.3 Answers to all 25 questions should be given. In the area where “comments, evidence and proposed actions” are entered, comprehensive answers should be given and supporting evidence should be listed in the document, along with relevant timescales.
- 4.5.4 It is not advised to embed evidence documents into the file prior to sending the return to the LA as the file will be too large. All evidence should be detailed and made available if requested by the LA.
- 4.5.5 Answers that are “Yes” but with very brief responses do not provide the necessary assurance for the governing body or the LA. It is important governors and the management committee are confident about all the responses provided.
- 4.5.6 Where a question is answered “No” or “In Part” the school should provide a summary of the position and proposed remedial action in Section E with an expected delivery date.
- 4.5.7 In Section E (Summary of agreed remedial action and timetable for reporting back), governors and management committees should summarise remedial actions and the timetable for reporting back. Governors and managing committees should ensure that each action has a specified deadline and an agreed owner. Governors and management committees must monitor the progress of these actions to ensure that all actions are cleared within specified deadlines.
- 4.5.8 The completed and signed return should be submitted to the LA’s Schools Finance Team by 31st March 2017. Schools should submit both the completed Word document to enable the schools’ responses to be collated and a PDF copy of the signed return.

The basis for best practice follows the LA assessment of all completed answers from submitted returns. Annex A gives some best practice and examples of some of the more comprehensive answers from schools. The responses have been anonymised as far as possible and are included with the agreement of the schools. The LA would like to

Schools Financial Value Standard Returns

Schools Forum
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Date: 18th October

thank the schools that were involved. Schools may wish to compare their answers to those in Annex A.

- 4.6 The next SFVS returns will be reviewed with regard to the considerations above and in **Annex A**.

Members of the Schools Forum are now asked to:

- Note that the LA is issuing guidance on how best to complete the SFVS return and future submissions should follow this guidance.
- Note that the SFVS forms part of the LA's financial health check of schools and schools may be contacted to verify evidence in support their assessments.

5. Alternative Options

- 5.1 There are no alternative options presented in this report.

6. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 6.1 The LA's Chief Finance and Section 151 Officer (The Board Director – Resources) is responsible for monitoring the financial health of LA maintained schools and is required to report compliance of the standard to the DfE. Full compliance with the SFVS requirements provide a high level of assurance that all financial and procurement arrangements in schools are of a high standard.

Legal and Human Rights Implications

- 6.2 There are no legal or human rights implications arising from this report.

All Other Implications (including Staff, Sustainability, Health, Rural, Crime and Disorder)

- 6.3 This report does not make any recommendations that affect these areas.

Links to One Swindon, Strategic Objectives, Plans and Policies

- 6.4 Utilisation of the DSG has a direct link to two of the Council's five priorities – "Right skills, right jobs in the right place" and "Make the best use of Swindon's resources inside and outside the Council".

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

Schools Financial Value Standard Returns

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Diversity Impact Assessment

- 6.5 A Diversity Impact Assessment (DIA) has not been done as this report does not make any recommendations that affect services.

Risk Management

- 6.6 Governing bodies must be able to demonstrate that they have robust financial management processes in place. Completion of the SFVS provides assurance to Governing bodies and the LA's S151 officer that adequate processes are in place or highlights areas for improvement.

7. Consultees

- 7.1 The Board Director Finance, Revenues, Benefits and Property (Section 151 Officer), Director of Law and Democratic Services (Monitoring Officer) and Board Director – Commissioning (Director of Children Services) are consulted in respect of all reports.

8. Background Papers

- 8.1 Previous SFVS reports to the Schools Forum
- 8.2 Department for Education (DfE) guidance and assessment form:

<https://www.gov.uk/guidance/schools-financial-value-standard-and-assurance-sfvs>

9. Appendices

- 9.1 Appendix A - Schools Financial Value Standard - Best practice advice and example answers.

Schools Financial Value Standard - Best practice advice and example answers

Schools Forum - Appendix A

	LA best practice advice	Example of Good Practice
Question 6 - Does the school have access to an adequate level of financial expertise, including when specialist finance staff are absent, eg on sick leave?	Answers should explain the level of financial expertise available to the school and what support these individuals provide. Include what the cover plans are when these specialist members of the team are absent. Schools may wish to consider whether they have or want to have the capacity within the school to prove this cover internally.	<p>This is a regular discussion point at finance meetings. Governors have discussed this at length and agreed that: with the expert knowledge in the school (senior admin manager, admin assistant, assistant Head Teacher and Head Teacher) as well as the accounting technician, governor support and knowledge and support from Governors themselves, that this risk is well covered. A reputable organisation, is used to provide financial services.</p> <p>Separation of duties and suitable financial controls are possible because of the number of qualified personnel within the staff team and clarity of roles and responsibilities.</p> <p>The school works in partnership with three other local schools in an informal Local Collaborative Partnership (LCP). We have established a network of school admin managers. Head Teachers support each other and information, training and best practice is shared. The skilled chair of finance and chair of governors are able to effectively support the Head Teacher.</p> <p>Short term absences are easily covered. The long-term absence of a key member of staff – especially the Senior Admin Officer or Head Teacher – would be covered by a qualified person in an 'acting' role.</p> <p>We buy back Financial services from an external company and have two admin officers who fulfil a job share. One half of the job share is very experienced and knowledgeable in all finance matters. The Deputy Head teacher is a member of the Resources committee and has a working knowledge of the budget, thus ensuring financial knowledge in case of long term Headteacher absence. We feel secure in the knowledge that we can buy in additional time should we require it and that the support will always be provided by the external officer linked to our school. This naturally supports continuity. Additionally we can contact the external team for additional support and guidance as required.</p> <p>The School Bursar is qualified and experienced in expenses and budget management. In the event of the Bursar being absent we buy the services offered by an external company who can carry out key responsibilities of the Bursar Role on behalf of the school. The School Admin team can also carry out several of the Bursar responsibilities e.g. paying invoices. The Head and Deputy Head will oversee budget and expenses. There is a policy in place to cover supply costs if additional support is required during a long term absence of the Bursar.</p> <p>Please see folder SFVS Q 6 for supporting evidence.</p>
Question 9 - Has the use of professional independent advice informed part of the pay decision process in relation to the headteacher?	Details of the professional independent advice should be documented as minimum with the dates of meetings included. Any Governors minutes held as evidence. Some schools did not explain the action taken by the independent person in relation to the question or whether there was any action. Some schools did not provide any detail or explanation or the response referred to 'previous years evidence' but did not list this evidence.	<p>We have not employed Independent advice specifically in relation to the headteacher's performance, however, We have utilised both former HMI inspector and a Head and Deputy Head from a neighbouring authority to perform a number of independent whole school reviews focusing on Leadership and Management. Equally Ofsted visited in the period and rated the schools Leadership and Management as Good. All of this independent feedback was utilised during the performance review/pay decision process.</p> <p>The Governing Body took advice from our School Improvement Advisor, when reviewing the performance of the Acting Headteacher and making pay decisions. This was recorded in the minutes of the finance & personnel meeting held on 18.11.15.</p>

Schools Financial Value Standard - Best practice advice and example answers

Schools Forum - Appendix A

	LA best practice advice	Example of Good Practice
Question 10 - Is there a clear and demonstrable link between the school's budgeting and its plan for raising standards and attainment?	Evidenced by providing the detailed link between the school's budget and its school improvement plan and details of how Pupil Premium has been used to raise standards and attainment. Some schools just stated that they have a School Improvement Plan but not detailed why this alone is evidence towards the question.	<p>Targeted use of Pupil Premium</p> <p>The school uses School Pupil Tracker to monitor standards of attainment and progress, which in turn informs an integral part of the SIP. Due to a higher than average inward mobility, coupled with low attainment of those pupils, who often have complex learning, social and emotional needs, the school makes well informed decisions during the budget setting process to cover for these eventualities.</p> <p>Employment of additional class teacher to address challenges in behaviour which impacted on teaching and learning, which has been effective in raising attainment.</p> <p>Employment of 2 x (part time) Family Support Workers.</p> <p>Provision of a larger than average SEN team</p> <p>Frequent reporting via Governor monitoring, FGB & Sub Committee meetings and financial reporting.</p> <p>Purchase of specific learning resources to support personalised learning for vulnerable groups and to further support the above interventions.</p> <p>Targeted support, advice and challenge from School Improvement Partner to address the school's attainment and progress.</p>
		<p>The School Development Plan depicts clear expenditure. Staff and student ratio is prudently set and budgeted according to need. Pupil Premium funding has been used to assist pupils to raise standards and attainment by funding new intervention staff to carry out 1:1 sessions. The effectiveness will be shown by utilising assessment tools and the outcome discussed. The expenditure is clearly articulated to all concerned. Accreditation for FEC budgeted and CPD for training all staff budgeted. IT budget for new technology and maintenance programme. Curriculum resource expenditure. After School Clubs. Constant reviews/revisions take place in the classroom, teachers meetings, SLT meetings and with parents/carers. The Senior Leadership Team and Governors are responsible for setting education priorities and budget.</p> <p>SDP Summary 2015-2016</p>
Question 17 - Does the school maintain its premises and other assets to an adequate standard to avoid future urgent need for replacement?	Include schools productivity, and any strategic plans in place for prevention. Some of the stronger answers from schools included a timeline for the maintenance schedule and detail of what the school's strategy involves.	<p>The local authority has invested in a major refurbishment for the school over the last 12 months.</p> <p>The school continues to deal with a high level of damage caused by students, and deal with issues relating to the age and unsuitability of the building for its purpose.</p> <p>Issues relating to the risk of Legionella and exposure to asbestos are ongoing with the local authority aiming to resolve those issues this academic year.</p> <p>The Head teacher, Site Manager, Health and Safety Governor and the full Governing body continue to monitor the situation.</p> <p>Evidence: Premises reports, H&S audits.</p>
		<p>Within the Governing Body there is a Premises Committee who regularly 'walk the school' to proactively assess and identify any future improvements the school may require. Also ensuring the building is maintained in a good state of repair. The school actively uses the online TES system to monitor maintenance requirements ensuring checks are carried out on a regular basis. The Chair of Premises Committee is also registered to monitor this system so she can work with the school to ensure the checks are carried out in a timely manner. Staff are advised on the correct use of school equipment to ensure it is used appropriately and stored correctly, increasing its longevity.</p> <p>Please see folder SFVS Q 15 for supporting evidence.</p>

Schools Financial Value Standard - Best practice advice and example answers

Schools Forum - Appendix A

	LA best practice advice	Example of Good Practice
Question 19 - Can the school give examples of where it has improved the use of resources during the past year?	Details of examples of improvements should be listed. Schools should provide more detail and examples than 'written evidence' as this does not give the LA assurance that the school has been able to improve the use of resources.	<p>Liaising with catering company to introduce online meal ordering and payment direct to the catering company. This has reduced the time spent by school admin staff.</p> <p>Willingness of caretaker to undertake some repairs and maintenance priorities has reduced financial outlay to outside companies.</p> <p>Use of qualified teacher employed as a teaching assistant to cover long term staff sickness instead of employing supply agency staff This reduced costs to Teaching Assistant cost centre as well as supply teachers cost centre.</p> <p>Greater use of electronic methods to communicate with parents (Schoop, Twitter, Website) to eliminate the need to produce and send letters, saving time and resources.</p> <p>The school has secured a 5% discount rising to 10% with a regular supplier for all stationery and supplies.</p> <p>Increased use of online purchasing to obtain best value on purchases.</p> <p>Appointments of two Higher Level Teaching Assistants to reduce the need for expensive agency supply teachers and ensure continuity of teaching and learning.</p> <p>Use of in-house staff to carry out building work/repairs reducing the need to employ construction companies.</p> <p>Review of the cost of school visits versus parental contributions and in-school visits has resulted in a change to the process allowing for tighter budget management.</p> <p>Following an extensive review of the school's catering provision, all food orders are now verified and payments made by FAO. Portion control has been reviewed with the result that strict portion guidelines have been implemented. Certain (expensive) fruit is no longer purchased and other fruit is no longer offered to clubs. Meal choices have been limited to reduce wastage and to give greater food control and the Catering Manager now adheres to a budget of producing a meal for £x per head.</p>
Question 20 - Is the governing body sure that there are no outstanding matters from audit reports or from previous consideration of weaknesses by the governing body?	Previous outcome of last years audit report should be included, any actions recommended should be detailed with their outcome. Stronger answers made reference to 'no LA action outstanding'. School has referred to previous years SFVS return but unless this held extensive detail from the previous years audit report this would not provide written evidence, the evidence would be the audit report itself.	<p>Governors form working parties to focus on specific areas of school improvement. In 2015 the chair of finance worked alongside admin staff and the Head Teacher to ensure that financial processes and procedures were robust and efficient. Attention was focused on ensuring financial probity irrespective of who the incumbents were in the relevant roles. Action was taken as a result of this review.</p> <p>There are no outstanding LA audit actions that need to be considered. We organise for an annual audit review to be carried out by an external company and work to promptly put in place requested improvements following their check. The Finance Committee discuss recommendations from their report and put timescales to action points which are monitored and reviewed by the Finance committee. We continually review our reporting to ensure it remains effective and fit for purpose.</p> <p>Please see folder SFVS Q 18-22 for supporting evidence.</p>
Question 25 - Does the school have an appropriate business continuity or disaster recovery plan, including an up-to-date asset register and adequate insurance?	Business Continuity Plans and asset registers should be detailed in the document. All schools have referred to their disaster recovery plan, their provider of school insurance and the majority of answers were quite strong.	<p>Insurance is complete and fully up-to-date. It is obtained through Swindon Borough.</p> <p>The school has a Business Continuity Plan and an ICT Disaster Recovery Plan. These plans were looked at as part of Swindon Borough's internal audit completed at the school in June 2015 and was deemed to be of a high standard.</p> <p>The asset register is recorded using a piece of software. This is capable of producing reports instantly for insurance and annual auditing purposes. It also takes into account depreciation. A technician came and did an audit in August 2015 to make sure all the data was in place.</p> <p>Business Continuity Plan reviewed by Governors November 2015. Meeting held with SBC Health & Safety to check that Emergency Plan covered everything necessary.</p> <p>Insurance purchased through Swindon Borough Council. Additional travel insurance purchased through Swindon Borough Council.</p> <p>Absence insurance purchased to cover all teaching staff, caretaker, Senior Admin Officer. This includes maternity and stress cover.</p> <p>Asset register kept up to date and stock check carried out annually.</p>

Schools Financial Value Standard - Best practice advice and example answers

Schools Forum - Appendix A

	LA best practice advice	Example of Good Practice
Summary of remedial action and timetable	Outcomes from last year should be presented as complete/work in progress and individuals/committees should be assigned to future requirements/actions and timelines stated.	<p>PREVIOUS ACTIONS</p> <p>To Plan the budget on the assumption that the school could lose income from the preschool letting with just 6 month's notice - Achieved</p> <p>To extend benchmarking against local school - Achieved</p> <p>To invest in a high interest account - Not achieved – very little difference between interest that would be received</p> <p>To ensure the school secures value for money across the school through the implementation of new procedures - Achieved</p> <p>Action and Date</p> <p>Action point 1 News skills matrix to be completed for the newly formed Governing Body for the federation - June 2016</p> <p>Action Point 2 / 3 New Terms of Reference and Scheme of Delegation to be drawn up for the newly formed Governing Body - May 2016</p> <p>Action Point 10 To ensure the school budget specifically highlights the financial implications identified in the School Development Plan for raising standards June 2016</p> <p>Action Point 12 To ensure that the school works within its annual budget and is not relying on the rollover for essential services - On going</p> <p>Action Point 14 To continue to improve benchmarking against local school and to contact school directly to discuss specific variations, to look at the Efficiency Metric - June 2016, to work with the SBM at the Infant School and use the federation as a tool for securing best value - On going.</p> <p>Action Points 15/21/24 To ensure financial procedures are consistent across both schools following federation June 2016</p> <p>Action Point 24 To update and share with appropriate staff procedures for the school fund account to ensure they meet auditing requirements - Completed</p>

Further information on the subject of this report can be obtained from Anne Mackay, 01793 465742, amackay@swindon.gov.uk.

2016-17 Dedicated Schools Grant Budget and Forward Look

Schools Forum

Date: 18th October 2016

Author: Head of Finance – Education

Wards: All

Locality Affected: All

Parishes Affected: All

1. Purpose and Reasons

1.1 The Schools Forum meeting on 12th July 2016 received a report on the 2016/17 Dedicated Schools Grant Settlement and Budget. This report provides members with an update on various budget issues that remained unresolved after that meeting. This report addresses:

1. Early Years 30 hours testing
2. Notional SEN – proposal
3. Tuition Service Review
4. Special School Provision
5. Free School Bids affecting Swindon
6. Apprenticeship Levy
7. De-delegation
8. SALT review
9. High Needs moderation
10. Early Years Consultation Response

1.2 These proposals contribute towards delivering the Council Vision Priority “Offer education opportunities that lead to the right skills and right jobs in the right places.”

2. Recommendations

The Schools Forum is recommended to:

- 2.1 Note the current arrangement for the 30 hours testing detailed in Para. 3.2 – 3.6.
- 2.2 Note that all mainstream High Needs funded pupils will be included in future calculations as detailed in Para. 3.7 - 3.16.

Further information on the subject of this report can be obtained from Ian Burbidge on 01793 464384 or iburbidge@swindon.gov.uk

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- 2.3 Agree which of the three options for calculating Notional SEN noted at 3.16 above they wish the LA to implement once the October 2016 census results are known as detailed in Para. 3.7 - 3.16.
- 2.4 Note the outcomes and recommendations from the tuition service review as detailed in Para. 3.17.
- 2.5 Note that the LA intends to consult on increasing the number of pupils at Brimble Hill Special School as detailed in Para. 3.18.
- 2.6 Note that the LA intends to increase the number of pupils at Crowdys Hill Special School as detailed in Para. 3.19.
- 2.7 Note the current status of the bids that have been submitted to the EFA to provide new free schools in Swindon as detailed in Para. 3.20 – 3.36.
- 2.8 Note the potential impact of the apprenticeship levy on schools in Swindon as detailed in Para. 3.37 – 3.41.
- 2.9 Consult with their relevant head teacher associations so that they can vote on this issue in January as detailed in Para. 3.42 – 3.44.
- 2.10 Note that the LA will be undertaking a review of the Speech and Language Therapy Service as detailed in Para. 3.45 – 3.48.
- 2.11 Note the changes to the High Needs moderation process as detailed in Para. 3.49 – 3.50.
- 2.12 Note the main aspects of the Early Years funding reform consultation as detailed in Para. 3.51 – 3.66.

3. Detail

Settings

- 3.1 The Dedicated Schools Grant (DSG) is ring fenced funding provided by the Department for Education (DfE) to meet the educational needs of early years, school age and all 0 to 25 year old high need pupils, any decisions on how the grant is utilised indirectly affects all settings.

Early Years 30 hours pilot update

- 3.2 In September 2016, the early implementation year commenced. Currently we have agreed funding for 165 children to access the '30 Hours Free Childcare' offer. This represents approximately 40% of the total places we have available, and already exceeds the target we had previously set ourselves of filling at least one third during the first term.

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- 3.3 Swindon is paying settings monthly in advance and there is an enhanced provider-funding rate for the early implementation year of £4.41 across the whole 30 hours. This has to be passed on in full. A quarterly return for funding is to be made to the Department for Education (DfE) in December 2016 and March/August 2017 – we should then receive payment within 10 days of submission.
- 3.4 In Swindon we are tasked by the DfE with testing how families will benefit from being offered really flexible childcare, designed to reflect more modern shift-working patterns. In doing so we also need to record the impact this has on their employers in terms of staff retention and recruitment, and so to produce any meaningful data the numbers of employers participating need to be limited.
- 3.5 The 30 Hour offer was therefore initially made to staff working from the Great Western Hospital site, as it was felt that by assisting the hospital it would indirectly benefit borough residents. Subsequently the employers approached was broadened to include Honda, BMW and the Brunel Centre, this was done to identify more families who may potentially need childcare at weekends. During the autumn term it is our intention to promote more widely the availability of high quality childcare on Saturdays, in order that the potential need for this service can be more robustly tested.
- 3.6 If you have any questions or queries please contact Gareth Cheal, Commissioner – Education Place Planning and Admissions on 01793 465802 or on gcheal@swindon.gov.uk

Members of the Schools Forum are now asked to:

- **Note the current arrangement for the 30 hours testing**

Notional SEN Top-up Funding

- 3.7 At the 12th July meeting the LA reported on the different methodologies employed by neighbouring authorities to calculate Notional SEN. The LA also indicated that it intended to include funded pupils as well as statemented pupils as part of the calculations.
- 3.8 Notional SEN is assessed by calculating the Notional Income that is included within each schools budget and comparing this with the Notional Expenditure. **Appendix A** gives a school by school breakdown of estimated Notional SEN income and expenditure for 2016/17

Notional Income is calculated as follows: (Column D)

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11. Low Prior Attainment (LPA) Funding for SEN as at October 2015, either £690.99 (Primary) or £984.92 (Secondary) X 100% (Column A)

Plus

Income Deprivation Affecting Children Index (IDACI) plus Free School Meal Ever 6 (FSM6) X 40% (column B & C)

Notional Expenditure is calculated as follows:

October 2015 Census data

LPA minus number of funded pupils X either £690.99 (Primary) or £984.92 (Secondary) (Column G)

Plus

Number of funded pupils X £6,000 (Column F)

= Total X 5/12 (this represents the period April – August)

The calculation is repeated for the October 2016 census and then multiplied by 7/12 (to represent September - March)

This gives the total Notional Expenditure, which is compared with the Notional Income, if the income is greater than the expenditure the LA does not provide any additional funding whereas if expenditure is greater than the income then the LA makes up the shortfall.

- 3.9 For the purpose of the modelling exercise the 2015/16 Notional SEN data was used in conjunction with the numbers of funded pupils as at the beginning of September 2016. Funded pupils are defined as any pupil where there is no statutory assessment in place, but where the LA's Special Education Needs Review and Assessment Panel (SENRAP) has agreed that funding should be paid to the school.
- 3.10 This change in policy has identified an additional 90 pupils as at September 2016 for whom no formal statement exists but who the LA are currently funding. The number of funded pupils in October 2015 is not available, so for the purpose of funding this year the number of funded pupils in April 2016 has been used as a proxy measure for October 2015. This proxy identified 45 pupils who were funded above those with a statutory plan.
- 3.11 Using the data as described above in addition to the changes in LPA, IDACI and FSM6 data has identified that under the current Notional SEN calculation arrangements the LA would require a budget in the region of £709k, however the budget for the current year is £400k.

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- 3.12 The LA proposes a number of changes to the formula to reduce the pressure on the budget; these include increasing the percentage of IDACI and FSM6 that is included in the Notional income calculation or including a percentage of the Age Weighted Pupil Unit (AWPU) or a combination of these approaches. These have been discussed with a working group from Swindon Association of Primary Headteachers to explore the options and to enable their representatives to obtain guidance on their views.
- 3.13 Details of the proposed changes have been circulated to the Swindon Association of Secondary Headteachers. In 2015/16 only two of the secondary schools received Notional SEN top-up, the continuation of this position will depend on which of the three options below are chosen.
- 3.14 The options that have been modelled are shown at **Appendix B**, some of these options on their own are not sufficient to reduce the funding gap but when combined with others will achieve that aim.
- 3.15 Funded pupils will be all students that are being funded by the LA as at the school census date. (i.e. 6 October 2016)
- 3.16 The LA is proposing that Schools Forum agrees a principle which will allow the Notional SEN to be calculated once the October 2016 census data is received. The three options are set out below, the final percentages will be the maximum achievable within the £400k budget.
- a) The percentage of IDACI and FSM6 included in the Notional Income calculation is increased to provide the maximum amount of funding, this is anticipated to be between 65% & 75%.
 - b) A percentage of AWPU is included in the Notional Income calculation, this is anticipated to be between 1.3% & 1.75%.
 - c) The percentage of IDACI and FSM6 included in the Notional Income calculation is increased to 50%, together with a percentage of AWPU is included in the Notional Income calculation, the AWPU percentage is anticipated to be between 0.75% & 1.25%.

Members of Schools Forum are now asked to:

- **Note that all mainstream High Needs funded pupils will be included in future calculations**
- **Agree which of the three options for calculating Notional SEN noted at 3.16 above they wish the LA to implement once the October 2016 census results are known.**

Further information on the subject of this report can be obtained from Ian Burbidge on 01793 464384 or iburbidge@swindon.gov.uk

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Schools Forum

Date: 18th October 2016

Tuition Service Review

- 3.17 At the Schools Forum meeting in January 2016, the Head of Education indicated that in view of the budget pressures being faced by schools, he would commission a review of the Tuition Service. This would consider the budget pressures faced by this service and also look at the value for money being provided by the service. The report has produced a number of recommendations for the Tuition Service. No budget increase is requested for the service although the service is under severe pressure. Schools Forum is asked to note the report and recommendations attached at **Appendix C**.

Members of Schools Forum are now asked to:

- **Note the outcomes and recommendations from the tuition service review**

Special School Provision

Brimble Hill

- 3.18 The LA is investigating the possibility of increasing the number of places at Brimble Hill Special School from 75 to 77. There are currently 77 pupils on roll at Brimble Hill, therefore, the proposal is to establish this number as a permanent increase. However, if approved the proposal will allow the school and LA the flexibility to increase 10% above 77 to potentially 84 pupils if required. A consultation is proposed to commence early in 2017, with a decision in March 2017.

Crowdys Hill

- 3.19 Following the report to SF in July 2016, the Cabinet Panel has approved the proposal to lower the age range at Crowdys Hill Primary School to create primary aged provision on site. The approved provision is for up to 36 pupils, with 16 starting in KS1 in September 2016 and it is proposed to establish KS2 provision for a further 20 pupils in September 2017.

Members of Schools Forum are now asked to:

- **Note that the LA intends to consult on increasing the number of pupils at Brimble Hill Special School.**
- **Note that the LA intends to increase the number of pupils at Crowdys Hill Special School.**

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Free School Bids affecting Swindon

3.20 Recently the DfE announced that three applications for new schools submitted in Wave 11 of the Free School process had been approved. The new schools will be:

- Middle Wichel Primary School, a 2 Form of Entry (FE) primary proposed to open in September 2018 sponsored by the Diocese of Bristol Academies Trust (DBAT)
- New Eastern Villages Primary School, a 2FE primary proposed to open in September 2018 also sponsored by DBAT
- Brunel ASC Secondary School for 11-19, which will provide 50 new special school places from September 2018.

3.21 Following the announcement of the Wave 11 applications, as a result of the engagement work that has been conducted, there have been seven sponsors submitting free school applications for six schools during the recently closed wave (Wave 12 28th September 2016). These are summarised below.

Tadpole Farm Primary School

3.22 As reported to Cabinet in March 2016 an application for a second school at Tadpole Farm was expected in Wave 11. However, the application was postponed until Wave 12.

3.23 Great Western Academy submitted a successful application for a secondary free school to open for September 2018 in Tadpole Farm. The Swindon School Place Planning update identified a need for an additional primary school in North Swindon (Tadpole Farm) for 2018.

3.24 The application in Wave 12 is to provide a 2FE primary school with nursery adjacent to the approved secondary school.

Abbey Farm Primary School

3.25 Abbey Farm is a 370 home development in North Swindon adjacent to the Blunsdon Abbey Stadium, which has a 2FE primary school site included within the approved area.

3.26 Through an increasing birth rate and continued infill development around north Swindon this school has been identified as a potential free school and applications have been sought for Wave 12.

3.27 There are two applicants for the new primary school at Abbey Farm, they are:

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- Educate Together is an educational charity in the Republic of Ireland which is the patron body to equality-based, coeducational, democratically-run and child-centred schools. It was founded in 1984. The Trust has established new schools in Bristol and North Somerset and has expressed an interest in expanding further along the M4 corridor.
- Lydiard Park Academy is the local secondary school located in West Swindon which converted to become an academy school on 1 September 2011. It is currently seeking opportunities to develop a multi-academy trust.

Badbury Park Primary School

- 3.28 Badbury Park is a 790 home development that is in progress between the Great Western Hospital and Day House Lane. The approved development includes a site and provision for a 1FE primary school to serve the needs of the residents in the new homes.
- 3.29 There is interest from two applicants for this school, they are:
- Educate together, as in 3.27 above
 - Blue Kite Academy is a local Multi-Academy Trust that comprises of two schools, Ferndale Primary and Nursery School and Ruskin Junior School.

New Eastern Villages Learning Campus

- 3.30 As part of the large housing development to the East of Swindon a 2FE primary school and a 10FE secondary school as part of a joint learning campus is required to serve the needs of the new population.
- 3.31 There have been a number of sponsors interested in this opportunity and the Local Authority in conjunction with the Regional School Commissioner identified the application wave in March 2017 (Wave 13) to market this school for applications.
- 3.32 However, an application by the River Learning Trust has been submitted for Wave 12 and is required to be considered by the Department for Education following the Free Schools Process.
- 3.33 The River Learning Trust is a Multi-Academy Trust responsible for a number of schools and a school centred initial teacher training provider within Oxfordshire.

Social, Mental and Emotional Health (SMEH) Special Secondary School

- 3.34 The White Horse Federation has notified the Local Authority of their intention to submit a free school application to the Department for Education in September

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2016 (Wave 12). The proposal is to establish a new setting that will offer places for secondary aged children with Social, Emotional and Mental Health difficulties.

- 3.35 The setting will also offer residential and respite facilities in order to further reduce the number of Swindon children attending settings in other Local Authority areas by offering the relevant provision within the town. Included within the application is a proposal similar to the Oakfield Project with a registered alternative provision to support pupils as an alternative to mainstream secondary education.
- 3.36 The outcome of the applications will be announced in February or March 2017.

Members of Schools Forum are now asked to:

- **Note the current status of the bids that have been submitted to the EFA to provide new free schools in Swindon.**

Apprenticeship Levy

- 3.37 As reported at the July 2016 Schools Forum the government will introduce an apprenticeship levy from April 2017 to create a fund to offer more apprenticeships across the country. This will have an impact on schools in the Swindon area; **Appendix D** has more details of the scheme.
- 3.38 The following website contains more information about the scheme and how it will operate:-
- <https://www.gov.uk/government/publications/apprenticeship-levy-how-it-will-work/apprenticeship-levy-how-it-will-work>
- 3.39 The LA routes to employment team can be contacted for more information and signposting about apprenticeships contact Maria Holohan, Routes to Employment on 07920 020 904, or on routestoemployment@swindon.gov.uk

Maintained Schools

- 3.40 The apprenticeship levy will come into force in April 2017 with the public sector duty which came into force in Sept 2016. This means that the LA has to work towards 2.3% of its workforce being apprentices. The money the LA pays, from its levy will be credited into a digital account to pay for the training of LA apprentices. The LA has created a corporate apprenticeship project board to oversee a renewed drive to encourage the organisation to identify where opportunities to employ apprentices exist and what support might be needed by our colleagues and managers to make the apprenticeship programme a successful one. So far the LA has:
- Developed some guidance for managers

Further information on the subject of this report can be obtained from Ian Burbidge on 01793 464384 or iburbidge@swindon.gov.uk

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- Created some information for apprentices
 - Created a specific apprenticeship induction programme to help people get 'work ready'
 - Looking at additional support for those vulnerable young people
- 3.41 The LA is looking to support all areas of the council to consider apprenticeships and would be happy to discuss with any of the maintained schools how they can make sure they get value by employing and training an apprentice, bringing the money back into their school that you will be paying out in the levy payment. Please contact the Learning and Development team for more information at Learninganddevelopment@swindon.gov.uk or contact Helena Taylor-Knox who is the project lead.

Members of Schools Forum are now asked to:

- **Note the potential impact of the apprenticeship levy on schools in Swindon.**

De-delegation

- 3.42 At its January 2017 meeting the Schools Forum will be asked to approve the continuation of the de-delegation for the following services:-
- 12.FSM Eligibility
 - 13.Trade Union
 - 14.Nylands Campus Outreach Team
- 3.43 Schools Forum Maintained school members will be asked whether their respective Head teacher associations agree to continue the current de-delegation arrangements for these services.
- 3.44 School Forum maintained school members are requested to seek the views of their respective head teacher associations to enable this to be voted on at the January 2017 forum.

Members of the Schools Forum are now asked to:

- **Consult with their relevant head teacher associations so that they can vote on this issue in January.**

2016-17 Dedicated Schools Grant Budget and Forward Look

Schools Forum

Date: 18th October 2016

Speech and Language Therapy (SALT) - Mainstream

- 3.45 The LA SALT team are currently undertaking a review of their school caseloads to ensure that they are supporting the children and young people who most need and will benefit from the service. This is due to the rapidly increasing number of referrals to the service, the changes in service input as a result of the SEN Code of Practice 2014 and the growing number of schools in Swindon that need to be supported.
- 3.46 The team are at the start of the review and want to ensure that schools are kept up to date with what is happening. They will be working in teams to ensure all schools have Speech and Language Therapist cover and contacts, they will also ensure that all referrals are within the expected referral criteria. The SALT website contains specific school resources to assist schools in their support provision. <https://swindonspeechandlanguagetherapy.wordpress.com/>
- 3.47 The SALT team will then prepare a report for the SEND Project Board to outline what the current service can deliver and what pressures there may be.
- 3.48 If you have any questions or queries please contact Jude Sellers, Specialist Community Health Services Manager on 01793 464029 or on JSellers@swindon.gov.uk

Members of Schools Forum are now asked to:

- **Note that the LA will be undertaking a review of the Speech and Language Therapy Service**

High Needs Moderation

- 3.49 Schools Forum members will be aware that historically during the autumn term, the LA has undertaken a moderation of pupils in receipt of high needs funding. Due to a change in procedures any requests for a change to a pupils Universal Banding Level and associated funding will now need to be requested through an annual review. Any such requests will then be considered by the Special Educational Needs Resource Assessment Panel (SENRAP).
- 3.50 As SENRAP is moderating these requests the Special Educational Needs Assessment Team will no longer be undertaking the annual moderation exercise. If you have any questions or queries please contact Lyn Frith, Strategic Commissioner SEND on 01793 463217 or on LFrith@swindon.gov.uk

Members of Schools Forum are now asked to:

- **Note the changes to the High Needs moderation process**

Further information on the subject of this report can be obtained from Ian Burbidge on 01793 464384 or iburbidge@swindon.gov.uk

2016-17 Dedicated Schools Grant Budget and Forward Look

Schools Forum

Date: 18th October 2016

Early Years Funding Consultation – Schools Forum Update

- 3.51 On 11th August 2016 the Department for Education launched a consultation to seek feedback regarding a proposed new early years national funding formula set to be introduced from April 2017.
- 3.52 The consultation closed on 22nd September 2016. Swindon Borough Council submitted a response incorporating the views of officers across both early years and finance based on feedback from early year's providers themselves.
- 3.53 The main headlines from the consultation are as follows;
- It is proposed there will be a new early years funding formula for 3 and 4 year olds which will be consistent nationally. A base line rate has been established based on feedback from the 'true cost of childcare' review conducted by the Department last summer. Feedback from this review suggests it costs the same amount to deliver one hour of childcare, regardless of the type of provider or where you are based in the country.
 - Additional factors are then added to the base line rate to take account of local circumstances, these are based upon the extra costs associated with delivering childcare for children with SEND, EAL and who meet the FSM criteria. A value is added based on the percentage of children who fall into these categories within each local authority.
 - Finally, an area cost adjustment is factored in taking into account the cost of premises and staffing within each area.

Local Authority Funding to Providers

- 3.54 The criteria for allocating the new settlement is that 95% of funding received into the DSG for early years must be passed directly onto providers who are delivering the early education and childcare, 85% of which must be passed on as a base rate.
- 3.55 How to allocate the 10% difference can be decided locally based on proposed funding supplements. Officers will be hosting workshop sessions with PVI settings, maintained schools and Child-minders during October to ascertain preference from providers as to which supplements should be introduced (or not), whilst ensuring any proposed model is viable in the long run.
- 3.56 The expectation for the remaining 5% of the new settlement can be for local authorities to retain in order to cover the administration costs of meeting local authorities statutory duties surrounding early years, and to contribute towards SEN inclusion funding for early years children.

2016-17 Dedicated Schools Grant Budget and Forward Look

Schools Forum

Date: 18th October 2016

Early Years Pupil Premium (EYPP).

- 3.57 It is made clear throughout the consultation that Early Years Pupil Premium will remain at £0.53 per pupil per hour from April 2017 for those children who are entitled to it, in addition to the new funding formula.

Funding proposals to support disabled children

- 3.58 It is proposed that a separate funding stream will be introduced for those children in receipt of Disability Living Allowance. This will be an hourly top up rate administered in a similar way to EYPP.
- 3.59 The total national budget for this funding stream equates to £12.5 million, it has not yet been announced how much the rate per child/per hour will be for eligible children. On average this equates to approximately £80K per LA.

Funding proposals to support children with special educational needs

- 3.60 Included within the consultation it is suggested that local authorities should establish an inclusion fund by pooling money from both their early years and high needs allocations from the DSG. It is expected that the majority of this funding is then passed to providers as a top up on a case by case basis.

Proposed impact in Swindon

- 3.61 It is proposed that Swindon will receive a rate of £4.54 per hour for funding 3 and 4 year olds, this includes those entitled to 30 hours free childcare from September 2017.
- 3.62 Of this, £3.86 (85%) must be passed to providers as an hourly base rate, with an additional £0.46 available which must also be passed onto providers, potentially in the form of supplements with some flexibility based on local priorities.
- 3.63 The remaining £0.23 per hour can be retained by the local authority to cover administration costs and contribute towards the SEN inclusion fund.
- 3.64 This equates to an estimate budget of £11.390m based on the following;
- £10.039m amount allocated for universal 3 and 4 year old entitlement based on PTE 3,879.4 (Jan 2016 census)
 - £1.351m estimated funding for the additional 15 hours
 - An additional amount estimated to the value of £128k will be allocated to early years pupil premium
 - Based on 5%, the early years block could retain an illustrative budget of £569k.

Further information on the subject of this report can be obtained from Ian Burbidge on 01793 464384 or iburbidge@swindon.gov.uk

2016-17 Dedicated Schools Grant Budget and Forward Look

Schools Forum

Date: 18th October 2016

2 year old funding

- 3.65 The funding formula consultation also proposes changes to the 2 year old funding, where 100% of funding allocated to the DSG must be passed to providers for 2 year old funding. It is proposed that Swindon Borough Council will see an increase in funding to a rate of £5.32 per hour to be passed onto providers. It must be noted that as no funding is retained from within the 2 year old funding settlement, all central admin cost to deliver the 2 year old funded places would be retained from the 3 & 4 year old budget.
- 3.66 If you have any questions or queries please contact Gareth Cheal, Commissioner – Education Place Planning and Admissions on 01793 465802 or on gcheal@swindon.gov.uk

Members of Schools Forum are now asked to:

- **Note the main aspects of the Early Years funding reform consultation**

4. Alternative Options

- 4.1 Members of the Forum may provide alternatives in the course of the meeting.

5. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 5.1 Various financial implications are included in this report relating to management of the retained DSG budget.

Legal and Human Rights Implications

- 5.2 Legal and Human rights implications have been taken into account in preparing this report. It is considered that the recommendations are compatible with Convention Rights.

All Other Implications (including Staff, Sustainability, Health, Rural, Crime and Disorder)

- 5.3 No additional implications were raised in the preparation of this report.

Diversity Impact Assessment

- 5.4 The proposals within this report are designed to allocate funding targeted at disadvantaged pupils and at pupils with low prior attainment and / or special education needs in order to narrow the attainment gap between these and other pupils.

Further information on the subject of this report can be obtained from Ian Burbidge on 01793 464384 or iburbidge@swindon.gov.uk

2016-17 Dedicated Schools Grant Budget and Forward Look

Schools Forum

Date: 18th October 2016

Risk Management

- 5.5 Any specific risk management implications are highlighted in the body of the report.

6. Consultees

- 6.1 The Board Director, Resources (Section 151 Officer) and Director of Law and Democratic Services (Monitoring Officer) are consulted in respect of all reports.

7. Background Papers

- 7.1 None.

8. Appendices

- 8.1 Appendix A - Calculation of Estimated Notional SEN funding and Notional SEN spending 2016-17
- 8.2 Appendix B - Options for the Calculation of Notional SEN funding and Notional SEN spending 2016-17
- 8.3 Appendix C - Swindon Borough Council Tuition Service Review June 2016
- 8.4 Appendix D – Apprenticeship information

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Appendix A - Calculation of Estimated Notional SEN funding and Notional SEN spending 2016-17

School Name	Notional SEN Funding 2016/17						October 2015 Census Data					Estimated October 2016 Census Data					Spend Apr - Aug		Spend Sep - Mar		Total Notional SEN Spend	Total Notional SEN Funding	Total Notional SEN Spend	New Funding less Spend	Amount of Notional SEN due
	Total Funding allocated for SEN (£690.99 PRI and £984.92 SEC per Low Prior Attainment pupil)	Total Deprivation Funding allocated via FSM and IDACI	40% of Deprivation Funding deemed to be SEN related	Total AWPUP Funding	0% of AWPUP Funding deemed to be SEN related	Total Notional SEN Funding	Total Low Prior Attainment Pupils Oct 2015	Statemented Pupil Numbers as at Oct 15 (excluding SRP)	Funded Pupils as at April 16	Total No. of Pupils funded at £6,000	Low Prior Attainment pupils less Statemented Pupils	Estimated Total Low Prior Attainment Pupils Oct 16	Estimated Statemented Pupil Numbers as at Oct 16 (excluding SRP)	Estimated Funded Pupils as at Oct 16	Total No. of Pupils funded at £6,000	Low Prior Attainment pupils less Statemented Pupils	Notional Expenditure on Funded pupils @ £6,000	Notional expenditure on non funded LPA pupils @ Primary £690.99, Secondary £984.92	Notional Expenditure on Funded pupils @ £6,000	Notional expenditure on non funded LPA pupils @ Primary £690.99, Secondary £984.92					
	A	B	C	D	E	F = A + C + E	G	H	I	J = H + I	K = G - J	L	M	N	O = M + N	P = L - O	Q = J * £6,000 * 5/12	R = K * LPA rate * 5/12	S = O * £6,000 * 7/12	T = P * LPA rate * 7/12					
Abbey Meads Community Primary School	£53,722	£116,998	£46,799	£1,128,154	£0	£100,521	77.75	8	0	8	69.75	77.75	8	2	10	67.75	£20,000	£20,082	£35,000	£27,309	£102,390	£100,521	£102,390	-£1,869	£1,869
Beechcroft Infants	£47,622	£115,308	£46,123	£673,078	£0	£93,745	68.92	6	1	7	61.92	68.92	6	2	8	60.92	£17,500	£17,828	£28,000	£24,555	£87,883	£93,745	£87,883	£5,862	£0
Bishopstone School	£8,898	£5,642	£2,257	£117,176	£0	£11,155	12.88	1	0	1	11.88	12.88	1	0	1	11.88	£2,500	£3,420	£3,500	£4,789	£14,209	£11,155	£14,209	-£3,054	£3,054
Bridlewood Primary School	£31,574	£26,472	£10,589	£727,578	£0	£42,162	45.69	3	1	4	41.69	45.69	3	3	6	39.69	£10,000	£12,003	£21,000	£15,998	£59,001	£42,162	£59,001	-£16,839	£16,839
Brook Field County Primary	£50,806	£49,352	£19,741	£1,111,804	£0	£70,547	73.53	7	0	7	66.53	73.53	7	0	7	66.53	£17,500	£19,155	£24,500	£26,817	£87,972	£70,547	£87,972	-£17,425	£17,425
Catherine Wayte Primary School	£47,072	£26,150	£10,460	£1,130,879	£0	£57,532	68.12	5	1	6	62.12	68.12	5	2	7	61.12	£15,000	£17,885	£24,500	£24,636	£82,021	£57,532	£82,021	-£24,490	£24,490
Chiseldon Primary School	£18,444	£32,420	£12,968	£446,902	£0	£31,412	26.69	3	0	3	23.69	26.69	3	0	3	23.69	£7,500	£6,821	£10,500	£9,549	£34,370	£31,412	£34,370	-£2,957	£2,957
Colebrook Infant Academy	£20,436	£19,221	£7,688	£354,251	£0	£28,124	29.58	2	0	2	27.58	29.58	2	0	2	27.58	£5,000	£7,941	£7,000	£11,117	£31,058	£28,124	£31,058	-£2,933	£2,933
Colebrook Junior School	£20,176	£39,447	£15,779	£438,727	£0	£35,955	29.20	1	0	1	28.20	29.20	1	0	1	28.20	£2,500	£8,119	£3,500	£11,367	£25,486	£35,955	£25,486	£10,469	£0
Covingham Park Primary School	£52,808	£67,021	£26,809	£1,013,704	£0	£79,617	76.42	6	1	7	69.42	76.42	6	0	6	70.42	£17,500	£19,987	£21,000	£28,385	£86,872	£79,617	£86,872	-£7,255	£7,255
Drove Primary School	£88,076	£127,286	£50,914	£1,678,607	£0	£138,990	127.46	5	0	5	122.46	127.46	5	0	5	122.46	£12,500	£35,258	£17,500	£49,361	£114,619	£138,990	£114,619	£24,372	£0
East Wichel Primary School	£35,307	£88,953	£35,581	£858,378	£0	£70,888	51.10	5	1	6	45.10	51.10	5	0	5	46.10	£15,000	£12,985	£17,500	£18,582	£64,067	£70,888	£64,067	£6,821	£0
Eastrop Infant School	£73,956	£181,900	£72,760	£817,503	£0	£146,716	27.35	3	1	4	23.35	27.35	3	0	3	24.35	£10,000	£6,723	£10,500	£9,815	£37,038	£146,716	£37,038	£109,678	£0
Eldene Primary School	£116,264	£141,483	£56,593	£1,452,431	£0	£172,857	107.03	4	0	4	103.03	107.03	4	1	5	102.03	£10,000	£29,664	£17,500	£41,126	£98,290	£172,857	£98,290	£74,567	£0
Even Swindon Primary School	£57,051	£153,484	£61,393	£1,117,254	£0	£118,444	168.26	10	2	12	156.26	168.26	10	3	13	155.26	£30,000	£44,989	£45,500	£62,582	£183,071	£118,444	£183,071	-£64,627	£64,627
Femdale Community Primary	£56,887	£473,991	£189,596	£1,436,081	£0	£246,483	82.56	7	3	10	72.56	82.56	7	2	9	73.56	£25,000	£20,891	£31,500	£29,650	£107,041	£246,483	£107,041	£139,442	£0
Goddard Park Primary School	£64,155	£207,169	£82,868	£1,106,354	£0	£147,023	82.33	10	2	12	70.33	82.33	10	8	18	64.33	£30,000	£20,249	£63,000	£25,930	£139,179	£147,023	£139,179	£7,844	£0
Gorse Hill Primary	£32,564	£26,769	£10,708	£708,503	£0	£43,272	92.85	10	2	12	80.85	92.85	10	2	12	80.85	£30,000	£23,278	£42,000	£32,589	£127,867	£43,272	£127,867	-£84,595	£84,595
Grange Infant School	£37,239	£50,851	£20,341	£997,354	£0	£57,579	47.13	1	0	1	46.13	47.13	1	2	3	44.13	£2,500	£13,281	£10,500	£17,788	£44,069	£57,579	£44,069	£13,510	£0
Grange Junior School	£20,706	£84,276	£33,711	£803,878	£0	£54,417	53.89	5	0	5	48.89	53.89	5	0	5	48.89	£12,500	£14,076	£17,500	£19,706	£63,783	£54,417	£63,783	-£9,366	£9,366
Greenmeadow School	£17,605	£70,003	£28,001	£741,203	£0	£45,607	29.97	0	1	1	28.97	29.97	0	2	2	27.97	£2,500	£8,341	£7,000	£11,274	£29,115	£45,607	£29,115	£16,492	£0
Haydon Wick Primary School	£51,065	£71,156	£28,462	£1,433,356	£0	£79,527	25.48	4	0	4	21.48	25.48	4	0	4	21.48	£10,000	£6,184	£14,000	£8,658	£38,842	£79,527	£38,842	£40,685	£0
Haydonleigh Primary School	£31,698	£144,165	£57,666	£525,927	£0	£89,364	73.90	4	0	4	69.90	73.90	4	1	5	68.90	£10,000	£20,125	£17,500	£27,772	£75,397	£89,364	£75,397	£13,967	£0
Hazelwood Academy	£18,898	£14,042	£5,617	£452,352	£0	£24,515	45.87	4	3	7	38.87	45.87	4	3	7	38.87	£17,500	£11,191	£24,500	£15,668	£68,859	£24,515	£68,859	-£44,344	£44,344
Holy Cross Primary School	£28,621	£50,809	£20,323	£801,153	£0	£48,944	41.42	6	0	6	35.42	41.42	6	1	7	34.42	£15,000	£10,198	£24,500	£13,874	£63,572	£48,944	£63,572	-£14,627	£14,627
Holy Family Catholic Primary	£38,236	£183,116	£73,246	£833,853	£0	£111,482	55.33	6	0	6	49.33	55.33	6	1	7	48.33	£15,000	£14,203	£24,500	£19,481	£73,183	£111,482	£73,183	£38,298	£0
Holy Rood Catholic Primary School	£50,562	£30,012	£12,005	£675,803	£0	£62,567	73.17	6	0	6	67.17	73.17	6	0	6	67.17	£15,000	£19,339	£21,000	£27,075	£82,414	£62,567	£82,414	-£19,846	£19,846
King William Street Primary	£21,103	£40,951	£16,380	£550,452	£0	£37,483	30.54	5	0	5	25.54	30.54	5	0	5	25.54	£12,500	£7,353	£17,500	£10,295	£47,648	£37,483	£47,648	-£10,164	£10,164
Lainesmead Primary School	£83,721	£222,775	£89,110	£1,079,104	£0	£172,831	121.16	5	0	5	116.16	12													

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Appendix B - Options for the Calculation of Notional SEN funding and Notional SEN spending 2016-17

School Name	2015/16 Actual Notional SEN Funding	2016/17 Estimated Notional SEN Funding using current method	Option 1 - IDACI & FSM6 increased to 50%	Option 2 - IDACI & FSM6 increased to 70%	Option 3 - Include 1% of AWPU	Option 4 - Include 1.25% of AWPU	Option 5 - Include 1.5% of AWPU	Option 6 - Include 1.75% of AWPU	Option 7 - IDACI & FSM6 increased to 50% and include 1% of AWPU	Option 8 - IDACI & FSM6 increased to 50% and include 1.25% of AWPU	Option 9 - IDACI & FSM6 increased to 50% and include 1.75% of AWPU	Number of Statemented pupils - October 2015	Number of Funded (non - statemented) pupils - April 2016	Total Number of Pupils deemed to be funded at October 2015	Estimated number of all funded pupils - October 2016
												A	B	C= A + B	
Abbey Meads Community Primary School	£0	£1,869	£0	£0	£0	£0	£0	£0	£0	£0	£0	8	0	8	10
Beechcroft Infants	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	6	1	7	8
Bishopstone School	£3,218	£3,054	£2,490	£1,361	£1,882	£1,589	£1,296	£1,003	£1,318	£1,025	£732	1	0	1	1
Bridlewood Primary School	£5,609	£16,839	£14,192	£8,897	£9,563	£7,744	£5,925	£4,106	£6,916	£5,097	£3,278	3	1	4	6
Brook Field County Primary	£20,399	£17,425	£12,489	£2,619	£6,307	£3,527	£747	£0	£1,371	£0	£0	7	0	7	7
Catherine Wayte Primary School	£16,943	£24,490	£21,875	£16,645	£13,181	£10,354	£7,526	£4,699	£10,566	£7,739	£4,911	5	1	6	7
Chiseldon Primary School	£1,109	£2,957	£0	£0	£0	£0	£0	£0	£0	£0	£0	3	0	3	3
Colebrook Infant Academy	£1,824	£2,933	£1,011	£0	£0	£0	£0	£0	£0	£0	£0	2	0	2	2
Colebrook Junior School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	1	0	1	1
Covingham Park Primary School	£7,884	£7,255	£553	£0	£0	£0	£0	£0	£0	£0	£0	6	1	7	6
Drove Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	5	0	5	5
East Wichel Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	5	1	6	5
Eastrop Infant School	£6,410	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	3	1	4	3
Eldene Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	4	0	4	5
Even Swindon Primary School	£0	£64,627	£49,279	£18,582	£53,454	£50,661	£47,868	£45,075	£38,106	£35,313	£32,520	10	2	12	13
Ferndale Community Primary	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	7	3	10	9
Goddard Park Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	10	2	12	18
Gorse Hill Primary	£0	£84,595	£81,918	£76,564	£77,510	£75,738	£73,967	£72,196	£74,833	£73,061	£71,290	10	2	12	12
Grange Infant School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	1	0	1	3
Grange Junior School	£18,510	£9,366	£938	£0	£1,327	£0	£0	£0	£0	£0	£0	5	0	5	5
Greenmeadow School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	0	1	1	2
Haydon Wick Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	4	0	4	4
Haydonleigh Primary School	£1,906	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	4	0	4	5
Hazelwood Academy	£0	£44,344	£42,940	£40,131	£39,820	£38,690	£37,559	£36,428	£38,416	£37,285	£36,154	4	3	7	7
Holy Cross Primary School	£11,669	£14,627	£9,547	£0	£6,616	£4,613	£2,610	£607	£1,535	£0	£0	6	0	6	7
Holy Family Catholic Primary	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	6	0	6	7
Holy Rood Catholic Primary School	£21,409	£19,846	£16,845	£10,843	£13,088	£11,399	£9,709	£8,020	£10,087	£8,398	£6,708	6	0	6	6
King William Street Primary	£466	£10,164	£6,069	£0	£4,660	£3,284	£1,908	£532	£565	£0	£0	5	0	5	5
Lainesmead Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	5	0	5	6
Lawn Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	8	0	8	8
Lethbridge Primary School	£37,381	£40,115	£35,876	£27,397	£26,871	£23,560	£20,249	£16,939	£22,632	£19,321	£16,010	9	0	9	12
Liden Primary School	£0	£1,109	£0	£0	£0	£0	£0	£0	£0	£0	£0	9	2	10	10
Millbrook Primary	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	5	0	5	5
Moredon Primary & Nursery School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	8	0	8	11
Mountford Manor Primary & Nursery School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	2	0	2	2
Nyke Primary School	£0	£2,652	£0	£0	£0	£0	£0	£0	£0	£0	£0	4	1	5	5
Oakhurst Community Primary School	£4,129	£8,495	£2,655	£0	£0	£0	£0	£0	£0	£0	£0	5	1	6	6
Oaktree Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	7	3	10	9
Oliver Tomkins C.E. Infant School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	3	0	3	4
Oliver Tomkins C.E. Junior School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	4	0	4	4
Orchid Vale Primary School	£8,053	£10,366	£6,874	£0	£719	£0	£0	£0	£0	£0	£0	4	0	4	5
Peatmoor Community Primary	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	1	0	1	1
Red Oaks Primary School	£23,664	£27,778	£21,451	£8,796	£14,780	£11,531	£8,281	£5,031	£8,453	£5,203	£1,954	9	1	10	10
Robert Le Kyng Primary School	£0	£2,111	£0	£0	£0	£0	£0	£0	£0	£0	£0	7	0	7	7
Rodbourne Cheney Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	1	0	1	2
Ruskin Junior School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	4	0	4	5
Seven Fields Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	3	0	3	3
Shaw Ridge Primary School	£8,733	£7,662	£0	£0	£0	£0	£0	£0	£0	£0	£0	10	0	10	10
South Marston C of E Primary School	£386	£4,115	£2,490	£0	£1,281	£572	£0	£0	£0	£0	£0	1	1	2	2
Southfield Junior School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	1	1	2	2
St Catherine's Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	2	1	3	2
St Francis C of E	£66,683	£78,500	£75,009	£68,027	£67,109	£64,262	£61,414	£58,566	£63,618	£60,771	£57,923	16	2	18	17
St Leonard's Primary Academy	£1,607	£7,967	£7,304	£5,979	£2,708	£1,393	£78	£0	£2,045	£730	£0	2	0	2	2
St Mary's RC Primary School	£0	£591	£0	£0	£0	£0	£0	£0	£0	£0	£0	4	0	4	5
Tadpole Lane	£15,000	£16,733	£16,162	£15,018	£13,055	£12,135	£11,215	£10,296	£12,483	£11,563	£10,643	3	0	3	4
The Croft Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	2	0	2	2
Tregoze Primary School	£0	£1,666	£0	£0	£0	£0	£0	£0	£0	£0	£0	4	0	4	6
Wanborough Primary School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	1	0	1	1
Westlea School	£0	£13,657	£5,125	£0	£5,373	£3,302	£1,231	£0	£0	£0	£0	4	5	9	9
Westrop Primary School	£20,097	£22,544	£19,442	£13,239	£16,059	£14,437	£12,816	£11,194	£12,957	£11,335	£9,714	6	0	6	7
Wroughton Infants School	£6,091	£20,778	£17,014	£9,486	£13,993	£12,297	£10,600	£8,904	£10,229	£8,533	£6,836	5	0	5	8
Wroughton Junior School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	2	2	4	4
PRIMARY SUBTOTAL	£309,183	£591,231	£469,546	£323,584	£389,356	£351,087	£315,001	£283,596	£316,130	£285,374	£258,675	298	39	336	368
Churchfield Academy	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	15	0	15	16
Highworth Warneford School	£27,348	£45,854	£14,670	£6,588	£10,352	£8,172	£0	£0	£0	£0	£0	19	0	19	20
Isambard Community School	£0	£15,481	£15,481	£0	£0	£0	£0	£0	£0	£0	£0	16	0	16	18
Kingsdown School	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	28	0	28	29
Nova Hreod	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	9	0	9	9
St Joseph's Catholic College	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	19	0	19	21
Swindon Academy	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	46	2	47	54
The Commonweal School	£0	£9,509	£9,509	£0	£0	£0	£0	£0	£0	£0	£0	25	2	27	25
The Dorcan Academy	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	16	0	16	16
The Lydiard Park Academy	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	16	3	19	17
The Ridgeway School	£40,820	£47,313	£14,635	£0	£8,271	£2,528	£0	£0	£0	£0	£0	24	0	24	28
UTC Swindon	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	1	0	1	1
SECONDARY SUBTOTAL	£68,168	£118,157	£54,295	£6,588	£18,623	£10,700	£0	£0	£0	£0	£0	234	7	240	254
MAINSTREAM TOTAL	£377,350	£709,388	£523,841	£330,172	£407,979	£361,787	£315,001	£283,596	£316,130	£285,374	£258,675	531	45	576	621
Number of Schools in Receipt of Notional SEN funding	26	36	28	16	23	21	18	15	17	14	13				

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Appendix C - Swindon Borough Council Tuition Service Review June 2016

i) The SBC Tuition Service provision was reviewed in June 2016 as part of a commitment made to the Schools' Forum by the Head of Education. This was because of the financial pressures being experienced by all schools in the borough. All Swindon schools have been reviewing their expenditure and it was felt appropriate that the Tuition Service needed to be reviewed at the same time to ensure that it was providing value for money and providing at least a good service.

The review team consisted of the Head of Education, the Head Teacher of St Joseph's RC Academy, the Secondary Commissioner and the Head Teacher of the Virtual School. The review process consisted of the following activities:

- Learning walks to each of the five centres.
- Interviews with staff members and pupils
- Analysis of service documentation and budget information
- Meetings with service senior managers

ii) The Tuition service in its current form came into being in 2009 when it was separated from the rest of EOTAS. This was when there were concerns about the quality of education provision at the PRU. The current Head of the Tuition Service was appointed then to manage the service.

The Tuition Service is a vital service ensuring that all children have an education provision (a statutory requirement) when mainstream provision, special education and other EOTAS services are unsuitable or unavailable. It offers services for extremely vulnerable pupils as a transition service, with the intention of re-integrating into a mainstream or specialist provision. It increasingly supports PEX pupils. This combination of pupils is complex.

The service currently works with 61 pupils (June 2016) of which 13 have EHCPs, 7 are on Child Protection Plans, 13 are in care and 10 are classified as Children in Need. The intention is to provide full time education but for some pupils this is not appropriate. Because of the high level of need, there are pupil meetings every fortnight to discuss every child. The service is delivered in 5 centres in which small group tuition takes place. Tuition also takes place in pupil's homes or an appropriate safe place such as a library. As a guide the service currently has classroom capacity for up to 45 pupils with spaces for between 20 and 25 pupils on individual tuition dependent on number of hours offered.

The current service model was reviewed due to the need to ensure that it provides value for money and is able to effectively meet the needs of the children and young people in its care. This also means building on the best of the Tuition Service, delivering

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- Improved outcomes overall
- Stronger attendance
- An aspiration to provide full time provision where this is appropriate for the pupil.
- Secure SMSC (spiritual moral social and cultural) aspects within the curriculum delivery.
- Reduced fixed term exclusions
- Academic progress
- Strong support for SEMH (social emotional mental health) needs of the pupils
- Effective deployment of staff to meet need

iii) The Tuition service budget is £890,200 of which the most part is spent on staffing (£650,000). The other items of expenditure are the costs associated with the 5 centres, costs for enrichment programmes such as The Shed, Iprovefit, Hinton Marsh Farm and commissioning 3 places at the Oakfield project. The service also commissions the use of the The Independent Psychological Service (TIPS), the cost of a dedicated youth engagement worker, educational psychologist and targeted mental health worker and a number of smaller items such as examination costs, training, travel, subsistence etc. College courses are also commissioned.

iv) It is recognised that the Head of Service and his central administrative team work very hard and with commitment to every child to ensure that no pupil is turned away from the service and that educational provision is in place. During the review a number of key issues were identified.

a) **Attendance** – attendance data shows a wide variation in pupil attendance at learning sessions varying from between 44% to 75%. In addition, when centres were visited on a number of occasions there were either no pupils present or just one. It was recognised that ensuring pupils attend regularly is not straightforward bearing in mind the personal challenges that many of these young people have and there are referrals to the Education Welfare Service to address non-attenders. It is also a statutory duty to ensure that education is provided. However, there is a real value for money concern when teachers and teaching assistants are provided and attendance is low. The Tuition service in the past has explored using an e-learning option for part of its provision which may be an appropriate way forward.

b) **Leadership capacity** – this is a major concern in the service. There is one teacher who has leadership responsibilities as Teacher in Charge. She undertakes the performance management role for the whole service of 20 staff including

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teachers, tutors and teaching assistants. This role also includes organising supply cover for staff when unwell as well as having the role of organising meetings to discuss pupils' progress and related issues which take place frequently. The core curriculum offer is GCSE English mathematics and science. One teacher takes a leadership role for English however no other teacher has any leadership responsibility for example for curriculum areas despite a number being on the top of the upper pay spine. The service has bought in time from an adviser to support performance management and provide some curriculum advice but this has not been available this year. The head of the tuition service is not a teacher and therefore cannot undertake these roles. There is a need to address this issue by ensuring that there is leadership in curriculum areas and other aspects of the work of the service. Staff management could also be addressed through having Centre managers in each of the teaching centres used by the service.

c) **Class Size** – in the learning walks that took place during the review, group sizes were often very small and did not really provide value for money. The maximum planned group size is currently five pupils due to their varying needs and to ensure that the pupils in the group can get on and work together. Due to their attendance levels, however, groups are often far less than five. It was felt that the planned group size needed to increase to 8 pupils per group. It was also felt that there could be alternative ways of delivering some aspects of the curriculum through for example e-learning packages or video conferencing (these strategies are used in other local authorities). This could also mitigate some attendance issues.

d) **Teaching & Learning** – it was quite difficult to assess the quality of teaching and its impact on learning as in a “school review” due to the low number of lessons observed as explained in a) above. In the learning sessions which were observed, lessons were often well planned enabling pupils to make progress in their learning. However, it was difficult to assess progress over time for a number of reasons. The service does not have an effective tracking tool although this is now changing as the model used by EOTAS is being adopted to track progress. In some pupil work files there was little evidence of written work.

Talking to teaching staff, it is apparent that they are quite isolated in their learning settings and have little chance to engage with other teachers in mainstream settings. CPD takes place within the service with few links to either a mainstream school or the wider EOTAS. They have little chance therefore to enhance their curriculum knowledge or teaching skills through observing or working with others. This could be addressed by having stronger links with EOTAS, attending secondary subject leader networks, being involved in Swindon wide CPD e.g. Oct 31 SASH day and also have specific links with mainstream/special secondary schools.

e) **Pupil progress** in terms of SEMH needs to be tracked more effectively across the service. There is considerable evidence that pupils do make progress in terms of their social and emotional development which is a critical aspect of this service which

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works with children and young people that have not coped in mainstream or sometimes other settings. There is no doubt that some staff work exceptional hard with these pupils with some success. The Tuition service, however, does not currently use any tracking measures to monitor its overall impact on SEMH making it difficult to demonstrate overall effectiveness.

f) **Accountability** – The Tuition service has regular termly service meetings with the Secondary Commissioner to review the working of the service but does not have a “governance” body like EOTAS or like a school. It is also not inspected by Ofsted as it is not a school. This means that it is not formally accountable to any external body (although it has accountability through the council) as such and there is no school representation or formal governance arrangement. This has led to some “drift” in the service and a lack of scrutiny in terms of outcomes, systems and for example performance management. Financial accountability is in place through the borough’s finance team.

g) **Buildings/Centres** – currently the tuition service operates from 5 different centres all of which were visited at least once during the review. It was recognised during the review that the number of centres could be reduced. This would produce a financial saving as well as providing an opportunity for reorganising provision to make it more effective. A plan is in place to reduce the number of centres from 5 to 4 initially and then to 3 by September 2017. An issue which should be mentioned was the poor external state of repair of all the centres (and sometimes internally) but particularly Westbourne and Ferndale.

h) **Timetables** – No lessons with pupils are scheduled for Mondays which is used for all staff to have PPA time. It is also used when possible to have meetings with pupils with parents/carers to discuss a range of issues such as progress, transition and individual needs etc. Although recognising the need for the meetings to take place, in a mainstream environment often meetings such as these would take place after school time using the whole school week and also fit in with parents/carers availability. Furthermore, with all teaching staff not teaching at the same time, it makes emergency cover for staff very difficult to manage as staff cannot cover for each other. This arrangement also challenges the delivery of 25 hour provision, which needs to be addressed. A further issue is that as all staff are centre based, they will teach all core subjects of the curriculum unlike in a secondary school where there are subject specialists. This wasn’t explored in depth in the review but it could mean that a subject like mathematics is not always taught by a subject specialist.

i) **Enrichment** – in order to provide closer to a full time education for pupils and to enhance the curriculum offer, a range of enrichment activities are offered to the pupils. It wasn’t possible to explore these in depth in the review but the offer is held in high regard by the staff and pupils alike. The Oakfield project is highly regarded by schools providing a unique service to some KS4 pupils. The Shed is also valued highly as is provision commissioned at Hinton Marsh Farm. There is also good

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provision for PE through Iprovefit and through sessions at Oasis. College provision is also commissioned to give pupils the chance to develop vocational skills.

j) **Staffing** – the tuition service does have a number of staffing issues which it would be inappropriate to discuss in detail in this report. Many staff in the service work hard and are fully committed to the service but this is not consistent. In one centre, staff stated that they didn't believe that IAG or mitigating the risk of pupils becoming NEET was part of their role. Also, there was sometimes a lack of awareness of data related issues which was said to be held "centrally" such as attendance and pupil progress which is not acceptable. This points to the lack of management capacity to address these issues.

k) **Transition** – the service has a transitions manager whose role is to ensure that all pupils leaving the service have a successful transition back to mainstream or into college provision. At the time of the review, 17 of the 20 Yr11 pupils had a transitions plan with 3 being at considerable risk of being NEET. This is considered a success by the Head of Service due to the nature of the young people. In terms of reintegration back into secondary provision, about a third of cases are successful. It was suggested during the review that these case studies are written up as evidence of successful practice and what can work.

Key recommendations

1. The Tuition service should be returned to EOTAS and no longer be a completely separate service.

Discussions should take place with the Head of EOTAS with a view to returning the Tuition service to this provision. This would help resolve the relative isolation of the service and its staff, provide more support for and strengthen service management and produce some financial savings which can be reallocated to improving and supporting attendance. EOTAS is due to be inspected in the autumn term and any move would take place after the inspection.

Once the service is returned to EOTAS, a review of the service management should take place to address some of the issues identified such as curriculum and centre leadership.

EOTAS has a formal management committee clerked by governor services to which it is accountable with headteacher and parent representation. In the interim, it is proposed that the Head of EOTAS join the Tuition service management group. EOTAS has a website which could be used to make more publically available the work of the Tuition service.

2. Reduce the number of Tuition centres to three and further explore a further reduction to two or one centres.

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This would reduce building costs and also make service management and organisation more straightforward. It is recognised that an advantage of using different centres does keep pupils apart and allows pupils to be appropriately grouped but this in itself causes problems of staff isolation and potential safety concerns. This needs to be pursued with the council to identify suitable premises or the development of current facilities.

3. Explore the possibility of delivering of some aspects of the curriculum through remote e-learning & on-line lessons

Delivering some aspects of the curriculum in this way could have a considerable number of advantages. A number of the young people who are supported by the Tuition service do have considerable issues when learning in groups and this could negate this factor. Lessons would be taught by subject specialists which does not happen currently with staff being centre based. This could also mean that all pupils in a year group would be learning English for example at the same time. Thus capacity would be used more efficiently. A number of local authority tuition services use e-learning and this should be explored further.

4. Performance management to be supported by LA school improvement staff in the short term

As noted in the report, the teacher in charge has an onerous responsibility in terms of performance managing staff. In the short term, this should be taken on and supported by school improvement and other appropriate staff with the LA. This would include undertaking lesson observations, book scrutinies and data analysis. Three LA staff are currently serving Ofsted inspectors.

5. Increase the maximum group size from 5 pupils to 8 pupils

Currently the maximum allocated group size is five pupils but this is impacted on by low attendance as is noted in the report. It is difficult to justify the small group sizes and staffing ratios when sometimes no pupils turn up for lessons or it is just one or two pupils. There are some concerns about increasing group size due to the balance of pupils and their relationships with each other so this will need to be carefully managed.

6. Pupil performance tracking

It is essential that there is much more informed and better tracking of pupil progress and performance academically and in terms of social and emotional development across the tuition service. It also needs to be recognised by all staff that knowing the details of pupil attendance, achievement and progress is their responsibility. Whilst the service performs a required statutory duty, it also needs to demonstrate its effectiveness and be formally accountable.

7. Exploring Best Practice

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To visit other Tuition Services to explore best practice in the areas identified as key issues to inform an action plan. New policies and practices should be informed by learning visits to other tuition services. It would also be sensible to ensure that there is joined up practice between St Lukes School, EOTAS and the Tuition service as there is considerable overlap in terms of the type of pupil that uses these services.

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Apprenticeship Funding



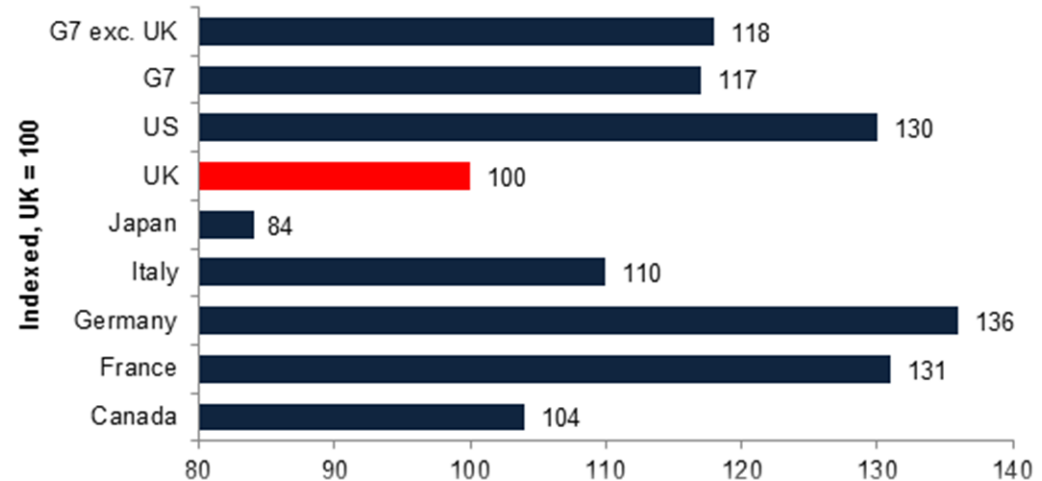
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Action is needed to address current economic trends

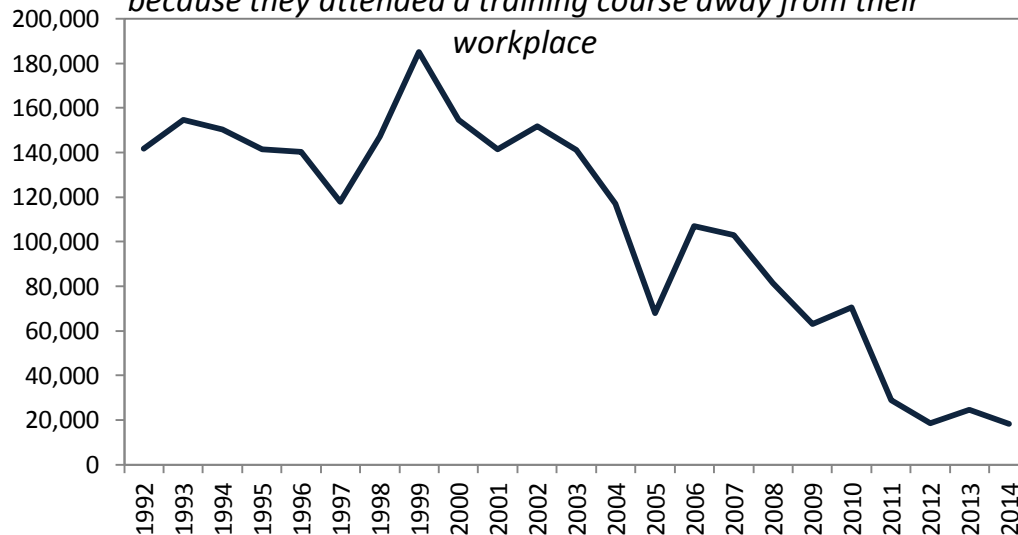
UK productivity lags behind other developed economies...

... and employers are investing less in training

GDP per hour worked for the UK and comparator countries, 2014



Number of employees who worked fewer hours than usual because they attended a training course away from their workplace



Meanwhile... relative social mobility has stagnated or declined over recent decades

The UK has low levels of intergenerational social mobility compared to some other developed countries

Apprenticeships contribute to addressing these challenges

That's why the government is committed to significantly increasing the **quantity and quality of apprenticeships** in England and **achieving 3 million starts** by 2020.

Benefits

Apprentices complete their apprenticeship with highly marketable skills...

...that make it more likely for them to remain employed, including with the same employer.

Employers experience tangible improvements to their product or service as a result of apprenticeships.

Apprenticeships create real benefits for the taxpayer and the wider **economy**...

...and contribute to the Government's overall goal of improving labour market outcomes.

83%



of apprentices said their career prospects have improved

70%



of surveyed employers said apprenticeships improved product quality and service

Apprenticeships provide a typical return of

£26-28

for every **£1** of government investment in apprenticeships at levels 2 and 3



But the programme could be bigger and better

Individual apprenticeships provide good returns, but there is an **insufficient number of apprenticeship opportunities** to meet demand from individuals, and **skills gaps remain in the economy**.

Whilst the vast majority of apprenticeships provide high quality training, feedback from employers shows that this is not always the case. We need to continue to **drive up the quality of apprenticeship training** and ensure that anyone completing an apprenticeship is fully competent in their occupation.

Ambitious Government reforms:

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- Employers at the heart of designing new Apprenticeships Standards to replace apprenticeship frameworks by 2020.
- New Institute for Apprenticeships led by employers to oversee standards and ensure quality and rigour
- Apprenticeships given equal legal protection to degrees
- Apprenticeship target for public sector bodies – duty for 2.3% of workforce to be apprentices will grow opportunities
- Secondary Class 1 NICs abolished for apprentices under the age of 25 since April 2016

All underpinned by changes to how apprenticeships are paid for. New apprenticeship levy paid by 2% of employers will fund expansion. **Digital Apprenticeship Service** will enable employers to directly manage their apprenticeship programmes and purchase training.

Lots of information about the new funding system has already been confirmed

Here's a recap...

What is the apprenticeship levy and who pays it?

- Levy on UK employers will fund growth in the apprenticeship programme. In parallel, employers will be given **more influence over how apprenticeships are designed and paid for**, so that they focus on the skills, knowledge and behaviours that are required of the workforce of the future.
- Growth in apprenticeships will open up opportunities to individuals from all backgrounds and all parts of the country, giving more people the chance to pursue a successful career.
- The levy will come into effect on **6 April 2016**, at a rate of **0.5% of pay bill**, paid through PAYE. It applies to all employers in all sectors.

All employers have an **allowance of £15,000** to offset against their levy liability. The levy allowance is not a cash payment and cannot be used to purchase apprenticeship training

- The allowance means that only UK employers with an **annual pay bill of more than £3 million** Are liable to pay the levy. That's 2% of employers.
- Employers in England who pay the levy **will be able to get out more than they pay into the levy**, through a **10% top-up** to their digital accounts

The levy will be set at 0.5% of an employer's pay bill. It will only be paid on any pay bill in excess of

£3m

Employers will have an allowance of £15,000 to offset against their levy payment



Paying the levy

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LEVIED EMPLOYER

- Employer of **250 employees**, each with a gross salary of £20,000.
- Pay bill: $250 \times £20,000 = \text{£5,000,000}$
- Levy sum: $0.5\% \times £5,000,000 = \text{£25,000}$
- Allowance: $£25,000 - £15,000 = \text{£10,000 annual levy payment}$

NON-LEVIED EMPLOYER

- Employer of **100 employees**, each with a gross salary of £20,000.
- Pay bill: $100 \times £20,000 = \text{£2,000,000}$
- Levy sum: $0.5\% \times £2,000,000 = \text{£10,000}$
- Allowance: $£10,000 - £15,000 = \text{£0 annual levy payment}$

How?

- Employers will calculate, report and pay their levy to HMRC, through the **Pay As You Earn (PAYE)** process alongside income tax and National Insurance.
- Single employers with multiple PAYE schemes will only have **one** allowance.
- Connected employers - we intend to allow employers to **share** one allowance between employers which are in connected ownership or control.
- Employers will **not** be exempt from the apprenticeship levy if they already pay into an existing levy.

Accessing levy funds to spend on training

Levy funds will be available through a new digital service on gov.uk

- Once registered for the new digital service, levied employers will be able to select their PAYE schemes and access funds available to them as a result of their levy payments.
- This will allow employers with multiple PAYE schemes and connected companies to aggregate levy funds into one account on the service.
- Employers will be able to see their levy contributions coming into the account monthly and accumulating over time.
- Funds will first appear in account in late May 2017 after the employer has completed their RTI submission for April 2017.

How funds in the account will be calculated

- To calculate how much each employer will have to spend through the English system, we are proposing to use data that HMRC already hold about the proportion of each employer's pay bill paid to employees living in England.
- For example:
 - If 100% of pay bill is in England → 100% of levy payment in digital account
 - If 80% of pay bill is in England → 80% of levy payment in digital account
- Employers will benefit from a 10% govt top up to monthly funds entering an account.
- Funds will expire 18 months after they appear in the employer's digital account unless they are spent on apprenticeship training. This will also apply to any top-ups in their digital account.

Purchasing training

The new funding system comes into effect on 1 May 2017, because May is the first month that levy paying employers will declare a levy payment to HMRC. **All apprenticeships started before 1 May will be funded through to completion according to the existing rules.** Any employer contribution towards training commenced before 1 May will also continue at the current rate.

Levied employers buying training from May 2017

- As soon as an employer has funds in their levy account they will be able to select a provider and an apprenticeship programme and commit to this. By committing to apprenticeship training via the digital account, the employer will be entering into a contract agreement with the provider.
- Once committed to training, funds will automatically leave the employer's digital account on a monthly basis, spread over the lifetime of the apprenticeship.
- We propose to hold back 20% of the total cost, to be paid on completion of the apprenticeship.
- Information and tools in the digital account will help employers forecast the funds that are likely to accumulate in their account over time and manage cash flow.

Non-levied employers buying training from May 2017

- Employers that don't pay the levy will make payments for training direct to providers. We will move them onto the digital system at a later date.

Purchasing training

Digital funds and government funding can be used for:

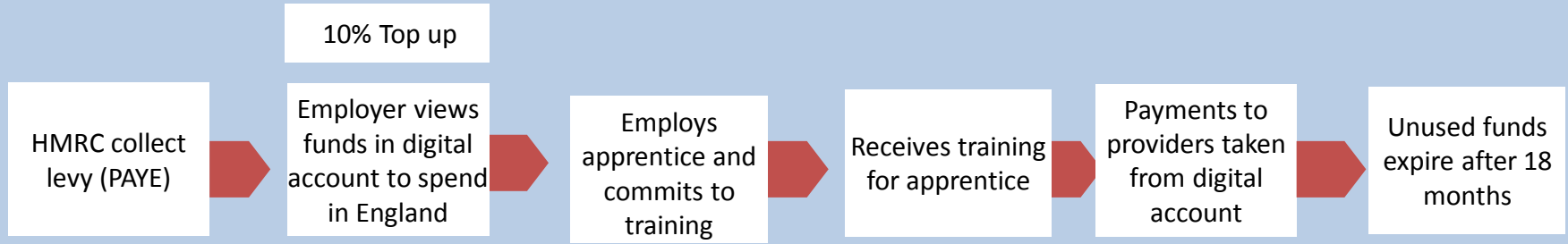
- apprenticeship training and assessment
- against an approved framework or standard
- with an approved training provider and assessment organisation
- up to the funding band maximum for that apprenticeship

Digital funds and government funding can not be used for:

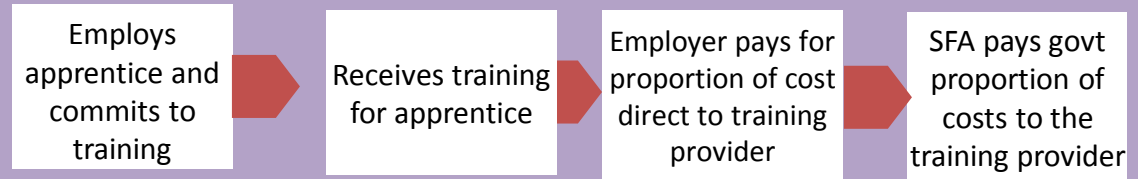
- wages
- travel and subsistence costs
- managerial costs
- traineeships
- work placement programmes
- the costs of setting up an apprenticeship programme

How the funding system will work

Levy paying employer



Non-levied employer



Training Provider



Government



The Digital Apprenticeship Service



An employer's guide to the digital apprenticeship service

A new digital service will be available for employers early next year.

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1

Plan your apprenticeship programme

Estimate how much funding you will have to spend on apprenticeships

2

Choose apprenticeship training and assessment

Find the right type of apprenticeship training for your business

Choose a training provider

Choose who will assess your apprentice at the end of their apprenticeship

3

Advertise a vacancy to recruit an apprentice

Work with your training provider to post an apprenticeship opportunity

If you are a **levy paying employer**, carry on to steps 4 and 5.

If you are a **non-levy paying employer**, work with your training provider to complete the next steps.

4

Manage the funding for your apprenticeship

Register securely to set up an employer account

View the current balance of your levy and any previous transactions

Forecast your funding available in the future

Find out support available if you don't have enough levy

To find out more use our online guidance or contact our employer helpline:

Phone: 08000 150 600

Email: nationalhelpdesk@apprenticeships.gov.uk

Web: www.gov.uk/take-on-an-apprentice/overview

5

Start a new apprenticeship contract

Agree how much you want to pay a training provider from your levy account

Manage payments to your training provider and see when they will be paid

Pause or stop a payment to your training provider

The digital service is coming soon.

Want to see how the digital service might work? Email DAS@bis.gsi.gov.uk to test the prototype and tell us what you think.

NOTE

Employers who **don't** pay the levy **will not** need to use the digital apprenticeship service to pay for apprenticeship training and assessment **until at least 2018**. When we ask them to start using the digital apprenticeship service to pay for apprenticeship training, we will help them to prepare.

Funding reform – more details

On 12 August, Government published further proposals on detailed funding model

Inviting employers and providers to feedback by 5 September

Provisional funding bands

Number	Band limit
1	£1,500
2	£2,000
3	£2,500
4	£3,000
5	£3,500
6	£4,000
7	£5,000
8	£6,000
9	£9,000
10	£12,000
11	£15,000
12	£18,000
13	£21,000
14	£24,000
15	£27,000

Why? Setting limits on the amount of government or digital funds that can be used for a single apprenticeship supports quality training whilst ensuring apprenticeships are affordable for individual employers and deliver value for taxpayers.

Every apprenticeship will be placed in a funding band

- All existing and new apprenticeship frameworks and standards will be placed within one of these funding bands. This will depend on the level and type of apprenticeship.
- The upper limit of each funding band will cap the maximum amount of digital funds an employer who pays the levy can use towards an individual apprenticeship.
- The upper limit of the funding band will also cap the maximum price that government will 'co-invest' towards, where an employer does not pay the levy or has insufficient digital funds and is eligible for extra support.

Employers can negotiate the best price for the training they require

- Employers will be able to negotiate prices with providers.
- If employers want to spend more than the funding band limit, using their own money, then they will be free to do that.
- Funding bands do not have a lower limit.

Provisional funding bands for frameworks

Current system

Government funds apprenticeship frameworks at different rates depending on the age of the learner. In future we will be putting funding in the hands of employers and the system needs to be simple for them to navigate, choose the apprenticeship training they want to purchase and negotiate on price. That means we have to simplify some of the complex funding arrangements that currently exist, while retaining the right incentives for high quality training.

Proposals

- We propose to **allocate each individual framework pathway to a single funding band, regardless of the age of the learner, or geographic location.** This will bring frameworks into line with the funding system for apprenticeship standards and dramatically simplify the experience of employers.
We propose to allocate individual framework pathways to the nearest funding band based on the current rate of funding the government pays providers for training adult apprentices.

For all **STEM framework pathways** we propose to increase the current government-funded adult rate by 40% at Level 2 and 80% at Level 3 and above, and then allocate these frameworks to the nearest funding band. This uplift takes into account the fact that employers of these apprentices are currently disproportionately likely to be paying extra to providers on top of the funding provided by government.

For this purpose, we propose to determine STEM frameworks by sector subject area. There are thirteen sector subject areas and we propose to apply the uplifts to: Engineering and Manufacturing Technologies; Information and Communication Technology; Science and Mathematics; and Construction, Planning and the Built Environment.

We invite feedback from employers and providers about this proposal, including how STEM should be defined.

Provisional funding bands for standards

Current system

Currently, standards are currently paid for through a combination of government and employer funding. The government pays two-thirds of the cost and employers are required to pay one-third, and the maximum total core funding for the most expensive standard in the highest funding band is £27,000.

Proposals

- Apprenticeship standards are employer-designed and offer employers and apprentices a more robust and relevant training experience. This is recognised in the current funding system and we will recognise it in the new system by allocating higher funding bands to apprenticeship standards, relative to equivalent frameworks, where appropriate.

We propose that existing apprenticeship standards are allocated to new funding bands according to the following principles:

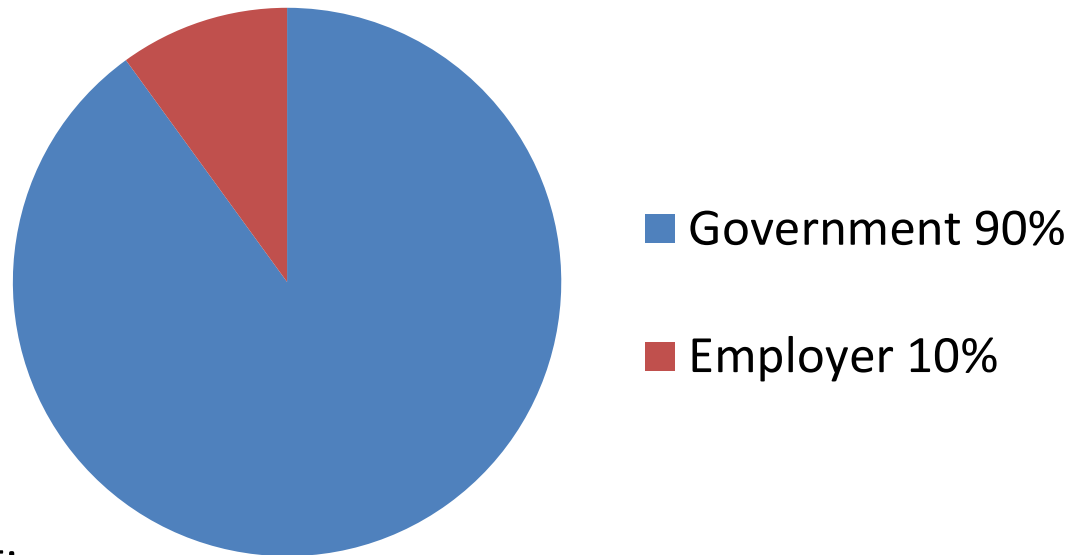
- Lower cost standards should be allocated to the new funding band that most closely aligns with the current funding band the standard is assigned to. For example, all standards in the current band 2 (maximum of £4,500 total core funding) will be allocated to the proposed new band 5, which has an upper limit of £5,000.
- Those standards currently assigned to the widest and highest cost funding band, which ranges from £12,000 to £27,000, will be allocated to a new band within this range. When identifying where individual standards should fit within this range we have taken into account:
 - i. Where there have been starts on standards and we have reliable data, the actual prices employers have negotiated with providers.
 - ii. The evidence originally presented by Trailblazer employers on the estimated costs of training, and taking into account only those costs which are eligible for public funding according to the existing funding rules.
 - iii. The funding bands set for equivalent frameworks, where comparisons exist.
 - iv. The level and nature of the training, and consistency across similar types of apprenticeship standard.

We invite feedback from employers and providers on these proposals, which aim to support quality apprenticeship starts whilst ensuring value for money and that apprenticeships are accessible to employers of all sizes.

Co-Investment

There are two types of employers who will benefit from government support towards the cost of their apprenticeships training:

1. Employers who haven't paid the levy and want to purchase apprenticeship training from a provider
2. A levy-paying employer who with insufficient funds in their digital account to pay for the cost of training and assessment they want to purchase



We propose that:

- The **government** pays **90%** of the costs of training and assessment.
- The **employer** will be responsible for paying **10%** of the costs.

WITHIN THE FUNDING BAND LIMIT

- Example funding band limit = **£6,000**
- Price you negotiate with your training provider = **£5,000**
- The cost is **within** the funding band limit

With enough funding in your account

£5,000 will be deducted from your digital account over the life of the apprenticeship.

Without enough funding in your account

If you have £0 in your account **we will pay 90% (£4,500) and you will need to pay 10% (£500).**

If you have digital funds available, these will be used first, and then we will **pay 90% of the remaining costs, and you will pay 10%.**

OVER THE FUNDING BAND LIMIT

- Example funding band limit = **£6,000**
- Price you negotiate with your training provider = **£7,500**
- The cost is **above** the funding band limit

With enough funding in your account

£6,000 will be deducted from your digital account over the life of the apprenticeship.

You will be responsible for paying £1,500. This payment can't be made from your digital account

Without enough funding in your account

If you have £0 in your account **we will pay 90% (£5,400) and you will need to pay 10% (£600). This is the maximum payable within the limit of the band.**

You will also be responsible for paying the additional £1,500. This payment can't be made from your digital account

Additional support for small employers

Current system

We recognise that taking on an apprentice is a big step for many small employers. We also know that smaller employers have historically played a very important role in helping young and disadvantaged people into the workforce for the first time. We currently recognise this by paying a grant to small employers to support them in taking on new apprentices aged between 16-24 years of age. This is called the Apprenticeship Grant for Employers 16-24. The AGE grant scheme will continue until the end of the 2016/17 academic year.

Proposals

We want to continue to support small employers to take on younger apprentices and so propose that employers with fewer than 50 people working for them will be able to train 16 to 18 year old apprentices at no cost. The government will pay 100% of the apprenticeship training costs for these individuals.

We propose to extend this to small employers who take on a 19 to 24 year old apprentice who was formerly in care or has a Local Authority Education, Health and Care plan. The government will pay 100% of the apprenticeship training costs for these individuals.

WITHIN THE FUNDING BAND LIMIT

- Example funding band limit = **£6,000**
- Price you negotiate with your training provider = **£5,000**
- The cost is **within** the funding band limit
- The training is for a 16-18 year old apprentice

**Employer of under
50 people**

Government will fund 100% of the cost of apprenticeships training and assessment for employers who employ fewer than 50 people.

In this case:

- **We will pay 100% (£6,000)**
- **You will pay 0% (£0).**

OVER THE FUNDING BAND LIMIT

- Example funding band limit = **£6,000**
- Price you negotiate with your training provider = **£7,500**
- The cost is **above** the funding band limit
- The training is for a 16-18 year old apprentice

**Employer of under
50 people**

Government will fund 100% of the cost of apprenticeships training and assessment for employers who employ fewer than 50 people.

In this case:

- **We will pay 100% (£6,000)**
- **You will pay 0% (£0).**

You will be responsible for paying in full the amount above the funding band limit (£1,500).

Additional support for apprentices

Funding for 16-18 year olds

Government proposes to pay £1,000 to employers, and a further £1,000 to training providers if they train a 16-18 year old apprentice.

We propose to help with the extra costs of supporting these individuals so that everyone has the opportunity to benefit from an apprenticeship. Employer funding will be paid through the training provider.

Disadvantaged young people

Government proposes to pay £1,000 to employers, and a further £1,000 to training providers if they train 19-24 year olds leaving care or who have a Local Authority Education and Healthcare plan.

We propose to help with the extra costs of supporting these individuals so that everyone has the opportunity to benefit from an apprenticeship. Employer funding will be paid through the training provider.

Funding for additional learning support

This is the extra amount that we propose to pay to the training provider where an apprentice requires additional learning support as a result of conditions such as dyslexia, learning difficulties or disabilities. We propose to **pay training providers up to £150 a month** to support these learners, plus additional costs based on evidenced need. This is a continuation of the current system.

Funding for English and Maths training

The government is committed to helping apprentices gain the minimum standard of Level 2 in English and maths.

When employers agree with their training provider that their apprentice needs training to meet the minimum standards in English and maths we propose to **pay training providers £471** for each of these qualifications (Level 1 and 2).

This will come direct from the government and will not be deducted from an employer's digital account.

Funding rules

Transferring funding

- During 2018, subject to a final value for money assessment, we propose to introduce means for employers to **transfer up to 10% of the levy funds** entering their digital account in a given year, to another employer with a digital account, or to an ATA.
- We will assess the impact and effectiveness of these arrangements before considering how they could be expanded.

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Prior qualifications

- Employers will be able to use funds in their account or access government co-investment support to train any individual to undertake an apprenticeship at a higher level than a qualification they already hold.
- In addition, we propose that an individual can be funded to undertake an apprenticeship at the **same or lower** level than a qualification they already hold, if the apprenticeship will allow the individual to acquire **substantive new skills** and the content of the training is materially different from any prior training or a previous apprenticeship.

Cross-border funding

- The current apprenticeship funding rules place conditions on which individuals can be funded to undertake an apprenticeship through the English system. We propose to simplify the current rules and apply a single test for whether apprenticeship training can be funded through the English system: **whether the apprentice's main place of employment is England**.
- We propose that the definition of workplace is the physical place of work, designated by the employer, where the apprentice is expected to spend the majority of their time during their apprenticeship. We welcome feedback from employers on whether this is an appropriate test to apply to eligibility for funding.
- We are continuing to engage with the Devolved Administrations on the scope for reciprocal funding arrangements for employees who live in England but who may work elsewhere in the UK.

Next Steps

In August we published apprenticeship funding proposals. We are inviting feedback on these proposals and will use the summer to test them further, including how they support the government's emerging industrial strategy and ensure that individuals from all backgrounds and parts of the country have the opportunity to get on in life.

You can provide feedback [here \[LINK\]](#)

October 2016

- The final funding bands that will apply in the new system
- The final, full set of technical rules that underpin the funding system
- Confirmation of how the proportion of pay bill that is paid to employees living in England will be calculated

December 2016

- Further employer guidance from HM Revenue and Customs (HMRC) on how to calculate and pay the apprenticeship levy

ANNEXES



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ALPHA This is a new service – your [feedback](#) will help us to improve it.

Estimate your apprenticeship funding

Use this tool to estimate if you'll pay the levy, how much you'll have available to spend on apprenticeships and if you're eligible for joint funding.

You'll need to know your organisation's annual UK payroll

► [What is my payroll?](#)

It would also help if you know:

- the percentage of your workforce that live in England
- the type of apprenticeship training

Start ➤

Disclaimer This tool is for illustration only. The actual amount of levy you will pay may vary. The Department for Business, Innovation and Skills is not responsible for the consequences of any decisions or actions taken in reliance on the information provided by this tool.

ALPHA This is a new service – your [feedback](#) will help us to improve it.

Enter your organisation's UK payroll

Your organisation's annual UK payroll

£ 76,000,000

Next

[Privacy and cookies](#)

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ALPHA This is a new service – your [feedback](#) will help us to improve it.

Employees living in England

Roughly what percentage of your employees live in England?

If you're unsure, enter 100

%

Next

Previous answers

[Start again](#)

Annual payroll of £76,000,000

[Change](#)

recaster/Calcul... x Support Processes - Digital... x Estimate your apprenticesh... x # apprenticeships-levy | UK ... x +

castingtool-dev.azurewebsites.net/forecast/76000000/84/ employ and apprentice

oogle BBC Apprenticeships Hom... http://jscript.scienceo... AWARDSPACE.COM Digital Apprenticeship...

gov.uk

ALPHA This is a new service – your [feedback](#) will help us to improve it.

Choose the apprenticeships you want

You can now estimate how much you'll be spending on apprenticeships every month or you can [skip this step](#)

Type of apprenticeship training

Please choose... ▼

Number of apprentices

Start date

This can be any date after May 2017

Month Year

Cost

£0 over 0 months

This can be negotiated with your training provider

[Add another apprenticeship](#)

Total cost: £0

[Next](#) [Skip](#)

ALPHA This is a new service – your [feedback](#) will help us to improve it.

Your estimated apprenticeship funding

You'll receive **£337,260** of levy credit per year. Any unused credit will expire after 18 months.

► [How this is worked out](#)

Your monthly funding breakdown

Date	Levy credit	Cost of Training	Balance
May 2017	£28,105	-	£28,105
June 2017	£28,105	-	£56,210
July 2017	£28,105	-	£84,315
August 2017	£28,105	£1,500	£110,920
September 2017	£28,105	£1,500	£137,525
October 2017	£28,105	£1,500	£164,130
November 2017	£28,105	£1,500	£190,735
December 2017	£28,105	£1,500	£217,340
January 2018	£28,105	£1,500	£243,945
February 2018	£28,105	£1,500	£270,550
March 2018	£28,105	£1,500	£297,155
April 2018	£28,105	£1,500	£323,760

Add another 12 months

You'll receive **£337,260** of levy credit per year. Any unused credit will expire after 18 months.

► [How this is worked out](#)

You will get co-investment because you don't have enough levy credit to pay for all your training. This means the government will pay 90% of the training costs that are not covered by your levy credit and you contribute the rest.

Your monthly funding breakdown

Date	Levy credit	Cost of Training	Co-investment		Balance
			Your contribution (10%)	Govt contribution (90%)	
May 2017	£28,105	-	-	-	£28,105
June 2017	£28,105	-	-	-	£56,210
July 2017	£28,105	-	-	-	£84,315
August 2017	£28,105	£60,000	-	-	£52,420
September 2017	£28,105	£60,000	-	-	£20,525
October 2017	£28,105	£60,000	£1,137	£10,233	£0
November 2017	£28,105	£60,000	£3,189	£28,706	£0
December 2017	£28,105	£60,000	£3,189	£28,706	£0
January 2018	£28,105	£60,000	£3,189	£28,706	£0
February 2018	£28,105	£60,000	£3,189	£28,706	£0
March 2018	£28,105	£60,000	£3,189	£28,706	£0
April 2018	£28,105	£60,000	£3,189	£28,706	£0

Add another 12 months

Previous answers

Apprenticeship Standards: What are they?

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Defined core principles of quality for an apprenticeship:

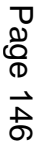
- It is a job in a skilled occupation
- It requires substantial and sustained training, lasting a minimum of 12 months and involving at least 20% off-the-job training
- It develops transferable skills, and English and Maths, to progress careers
- It leads to full competency and capability in an occupation, demonstrated by the achievement of an apprenticeship standard
- It trains the apprentice to the level required to apply for professional recognition where this exists

Employers are designing apprenticeship standards to meet the needs of their industry through the Trailblazer programme

A **standard** should:

- be short, concise and clear
- set out the full competence needed in an occupation in terms of Knowledge, Skills and Behaviour (KSBs)
- have the support of employers including smaller businesses
- be sufficiently stretching to require at least a year of sustained and substantial training to meet
- align with professional registration where it exists
- contain minimum English and maths requirements *and*
- only include mandatory qualifications under certain circumstances.

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- Page 146

Institute for Apprenticeships

- **An independent employer-led body that will regulate the quality of apprenticeships**, set up by April 2017 (shadow form with effect from 2016)
- An independent Chair will lead a small Board comprised primarily of employers, business leaders and their representatives.
- Antony Jenkins (ex-Barclays) and Nicola Bolton (ex-UKTI) appointed shadow chair and shadow chief operating officer in June 2016
- Outline role:
 - Approve/reject Expressions of Interest, standards and assessment plans
 - Provide advice and guidance during their development
 - Maintain a public database of apprenticeship standards and publish information illustrating potential gaps
 - Advise on the maximum rate of Government funding that should be assigned to each standard

Devolved Administrations

If you're an employer with operations in Scotland, Wales or Northern Ireland, you may also want to contact their apprenticeship authority

Scotland

<https://www.apprenticeships.scot/>

Wales

<https://businesswales.gov.wales/skillsgateway/apprenticeships>

Northern Ireland

<https://www.nidirect.gov.uk/campaigns/apprenticeships>