

Swindon Borough Council

Schools Forum

Tuesday, 8 October 2013

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

School Members:

Steve Colledge, Chair - Academy Headteacher
Paul Boyles, Vice-Chair - Academy Governor
Chris Davis, Primary Headteacher
Janet Urban, Primary Headteacher
Rhian Cockwell, Primary Headteacher
Alison Lowe, Primary Headteacher
David Easter, Primary Governor
Ray Williams, Primary Governor
Rachael Matthey, Secondary Headteacher
Julie Tridgell, Secondary Headteacher
Jackie Smith, Special Headteacher
Joanne Brown, Special Governor
Richard Marshall, PRU
Lynne Fletcher, Academy Headteacher
Nick Capstick, Academy Headteacher
Lauren Connor, Academy Headteacher
Wendy Conaghan, Academy Headteacher
Andy Hazelton, Academy Governor

Non-School Members:

Andrew Wild, Diocese - Bristol
Maureen Harries, Diocese - Clifton
Peter Smith, Trade Unions
Debbie Waldron, Early Years Representative
Cathy Parker, Early Years Representative (Deputy)
Andrew Miller, 16-19 Partnership
Graham Taylor, 16-19 Partnership
Ram Thiagarajah, BME

Observer Status

Beverley Pennekett, Education Funding Agency

Committee Officer: Rita Glen-Gallo

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AGENDA

1. **Apologies for Absence.**
2. **Minutes of Previous Meeting** (Pages 1 - 10)
To receive the minutes of the meeting held on 9th July 2013.
3. **2013/14 DSG Retained Budget Update and Grant Position** (Pages 11 - 18)
4. **Post 16 High Needs Funding 2013/14 Update and Indicative 2014/15 Position** (Pages 19 - 28)
5. **DSG and School Funding Reform Changes 2014/15** (Pages 29 - 98)

Date of Despatch: 02 October 2013

Public Question Time - Swindon Borough Council is committed to increasing its accountability to the public and to promoting active citizenship. Up to 15 minutes will be allowed at the start of all Council meetings for questions to the Chair from members of the public about the work of the Committee (except for confidential matters and specific planning applications). Questions must be relevant, clear and concise. Because of time constraints Public Question Time is not an opportunity to make speeches or statements. Prior notice of a question to the Director of Law and Democratic Services is desirable - particularly if detailed background information is needed.

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, 9 JULY 2013

PRESENT: -

School Members:

Steve Colledge, Chair - Academy Headteacher
Paul Boyles, Vice-Chair - Academy Governor
Chris Davis, Primary Headteacher
Rhian Cockwell, Primary Headteacher
Alison Lowe, Primary Headteacher
David Easter, Primary Governor
Ray Williams, Primary Governor
Rachael Matthey, Secondary Headteacher
Jackie Smith, Special Headteacher
Richard Marshall, PRU
Lynne Fletcher, Academy Headteacher
Nick Capstick, Academy Headteacher
Lauren Connor, Academy Headteacher
Wendy Conaghan, Academy Headteacher
Ben Slater St Joseph's Catholic College
Nick Vetchet Swindon College

Non-School Members:

Bev Pennekett, EFA
Peter Smith, Trade Unions
Debbie Waldron, Early Years Representative

Councillor Fionuala Foley (Cabinet Member for Children's Services)

Officers:

Paddy Bradley ((Head of Commissioning – Economy and Attainment)
Steve Haley (Head of Finance – Education and Innovation)
Sarah McCombe (Finance Manager – Education and Innovation)

Apologies for absence were received from Andy Hazleton and Andrew Miller .

1. Minutes of Previous Meeting

Resolved – (1) That the minutes of the meeting held on 5th March 2013, be confirmed and signed.

(2) That the updates provided by Paddy Bradley (Head of Commissioning – Economy and Attainment), regarding (i) discussions at the last meeting of a possible change to the Authority's process and practice in relation to funding for disadvantaged two year olds, and (ii) the copyright licencing arrangements in relation to the archival use of "youtube" video clips by schools, be noted.

2. Final Dedicated Schools Grant Outturn 2012-13

Steve Haley (Head of Finance – Education and Innovation) presented a report on the final 2012/13 Dedicated Schools Grant (DSG) outturn position following closure of the Local Authority's (LA's) 2012/13 final accounts.

Mr Haley made particular reference to Table 1 in the report, summarising the actual budget position at year end, compared with the projected position in early March 2013, and commented on how the underspend was higher than had previously been expected and therefore more funding was available to carry forward to 2013/14. Mr Haley also commented on the agreed budget commitments from this balance including monies to be retained within the Education Other Than at School (EOTAS) budget for the development of their premises improvement project.

Mr Haley referred to the erroneous absence from the report of any reference to the Forum's previously agreed commitment on the issue of trade union release time that, for this year only, the Authority would fund the existing service at a cost of £23k. This meant that the balance currently available to be carried forward into 2013/14 was actually £1.160m (not £1.183m indicated in the report).

With reference to the medium term retained budget position, Mr Haley advised that there had been an underspend on the budget for the last 3 years but he was not confident that this position could realistically be maintained in future, due primarily to the much more severe risk of managing the new high needs block. He felt that even attaining a break even budget position would now be an achievement.

Mr Haley drew the meeting's attention to paragraph 3.13 of the report, regarding equal pay claims and, specifically the implications for schools and academies of the Dumfries and Galloway ruling and the likelihood that the retained budget might need to be enhanced to accommodate future claims settlements. Mr Haley also confirmed that letters would be sent to the affected schools/ Academies once the implications were known.

At the request of the chair, Mr Haley reminded Forum members of the 2010 agreement whereby the retained DSG budget would fund 50% of each school or academy's equal pay costs.

Resolved: That:

- (1) The final position on the 2012/13 retained budget be noted.
- (2) After the allocation of funding previously agreed by the Schools Forum, it is noted that the total balance available for redistribution is £1.160m.

3. Update on 2013/14 Dedicated Schools Grant Funding and Related issues

Steve Haley (Head of Finance – Education and Innovation) presented a report providing an update on (i) the final 2013/14 Dedicated Schools Grant (DSG) settlement, (ii) disadvantaged 2 Year old funding, (iii) the post 16 high needs student costs and funding position, (iii) various mainstream cost pressures, (iv) various SRP and other high need setting cost pressures, (v) the proposed introduction of a new High Needs top up rate, (vi) the funding of additional SEN

places, (vii) revised EOTAS alternative provision top up fees, and (viii) the proposed entry into a Service Level Agreement for Travellers' children

Final DSG Settlement

Mr Haley confirmed that the final 2013/14 DSG settlement was £145,554,233. He advised that this figure was, effectively fixed and that any further variation could only be as a result of changes to 3 and 4 year old funding which was now linked to actual participation and increased or reduced costs would be matched by funding adjustments.

Resolved: That the 2013/14 DSG settlement for Swindon, confirmed at £145.554m, be noted.

Disadvantaged 2 year Old funding

Mr Haley reported on the calculation of the amount of DSG allocated for 2 year olds and the forecast underspend in the current year.

Paddy Bradley (Head of Commissioning – Economy and Attainment) commented on the implications of the relaxation of the eligibility criteria for take up of disadvantaged 2 year old funding, and the expectation that the “Grow2gether” capital project would open seven new providers offering additional 2 year old places. Regarding this latter point, and in response to a question by the Chair, Mr Bradley outlined the process used by the local authority for the commissioning of the seven new providers which was via a series of early years networks across Swindon.

Resolved: That the forecast underspend of up to £1.067m, based on current take up and existing plans, be noted.

Post 16 High need students costs and funding

Mr Haley advised that the assumed position in January 2013 had been that additional funding to meet the new post 16 responsibilities would match costs but this had not proven to be the case. As discussed by the Forum at its March 2013 meeting, costs would clearly exceed available funding by some £823k. It had been agreed by the Forum, at that meeting, that the relatively generous settlement in the Disadvantaged 2 year old element of the DSG could be used, if necessary, to offset the post 16 shortfall in the short term.

It was noted that a request for the Education Funding Agency (EFA) to review the authority's post 16 high need funding position had resulted in a one-off allocation of additional DSG of £349,650 but that this still left a funding gap of approximately £500,000. Mr Bradley advised that, based on the latest estimates from providers, approximately 410 high need students had applied for further education placements (289 in colleges, 24 in ISP's, 19 in non-maintained special schools, 6 in other LA special schools, 7 in Swindon sixth forms, 44 at Uplands sixth form and a further 21 post 19 students at Uplands Adult Education Trust) and that, if all these were funded, the DSG allocation would be exceeded by over £2m.

Mr Bradley commented that, despite the cap placed on Swindon's learner numbers which was used to calculate our funding allocation, it was the duty of the

authority (not the providers) to identify numbers of high need students. The LA had therefore imposed strict criteria, in line with EFA guidance, which excluded approximately 100 students from being eligible for high needs funding.

He continued, commenting that funding for those students recognised as High Needs by the FE provider but not by the LA should come from the low level additional support paid directly to FE providers by EFA as part of their base funding. Those pupils recognised by the LA as meeting the criteria will receive funding based upon the LA's moderated costs.

It was noted that these factors represent very significant challenges for the authority and providers and that negotiations would continue with a view to securing appropriate placements for all high needs students which represent best value for money within the financial constraints detailed in the report.

Mr Haley presented a supplementary report to the meeting, providing an update on the post 16 high needs funding. The report detailed available funding for the 2013/14 financial and academic year together with the latest post 16 cost estimates and commentaries in respect of each provider. Mr Haley took members and delegates through the report, expanding on the detail of each provider's estimate of their overall funding responsibility and inviting the Forum to note the position of the various providers.

He concluded his presentation of the supplementary report by guiding forum members through a summary of the overall position for the 2013/14 Academic Year (Part C of the report), setting out the estimated costs of new and continuing responsibilities. It was noted that the total of number of students (314) requiring high needs funding far exceeded both the capped learner numbers and the available funding envelope and that, as a consequence, the financial position was extremely difficult to manage.

Mr Haley reminded Forum members that there was already a long standing DSG subsidy of post 16 high needs provision in place as the costs of students placed at Uplands special school, mainstream sixth forms and with Out of Borough providers exceeded than the value of funding provided to the LA via the post 16 block grant by £1.25m per year. Mr Colledge disputed this statement advising that his sixth form costs had never been subsidised and that this had been a long standing issue raised with the former LA officers.

The Forum was asked to note:

- the overall post 16 funding position and in particular the level of disadvantaged 2 year old funding that would need to be allocated to meet the post 16 shortfall.
- the risk of not funding 52 students at Swindon College, that the College had indicated that it would not be able to offer students a place if the authority was unable to provide the level of funding requested. That these learners would need to be placed with other providers and it was not clear whether there would be feasible alternative options for every learner, presenting a risk that learners might not be able to start an appropriate course in September
- that any support the Forum might give to the allocation of funding for learners who did not meet the high needs criteria would be inconsistent with other

providers and contrary to EFA guidance.

Following the presentation of the report and the supplementary report, Mr Haley and Mr Bradley responded to members questions and observations on the matters raised, including:

- Explanation of the new process for the determination of high needs students and the commissioning of places and how it has changed from the previous process.
- Proposal to introduce the methodology used to allocate funding for pre 16 pupils to post 16 going forward
- the reasons why some providers seem in a better position than others to meet their new funding responsibility
- the achievement of the best outcomes for high needs learners and the future challenge of the disassociation between need and financial resources
- the importance of recognising that this issue will impact upon some of the most vulnerable families within the community
- recognition that this change in funding arrangements has been introduced nationally and the potential value of making the Department aware of the Forum's concern at the impact of reduced funding on vulnerable young people
- the impact of the real financial cuts being made in post 16 education and the increased numbers of applicants
- the legal position of the authority to ensure places for high needs students that "meet their needs" and its legal and ethical position in relation to students who do not meet the high needs defining criteria
- the recognition that responsibility for the determination of high needs now lies with the authority, not the provider, and the apparent discrepancy between the authority's high needs assessment criteria and those applied by different providers in accepting students as high needs learners
- tribunal arrangements and legal challenge by learners not deemed eligible under the high needs criteria
- the numbers of high needs places initially identified by providers and the numbers subsequently assessed by the authority as meeting the high needs criteria
- the inclusion in the allocation projections of 21% "uplift" monies and the impact of withdrawing that funding where possible
- The fairness of allocating the two year old funding to Post 16 when this is not sustainable and pressures exist in other areas of the DSG.

Resolved: (1) That the overall post 16 high needs funding position, as set out in the supplementary report tabled at the meeting, be noted and that it be agreed that the surplus on disadvantaged 2 year old funding be used to give transitional financial support to providers to allow them to meet their high needs funding responsibility for the period of the 2013/14 Academic Year.

(2) That a working group be established, comprising representatives of the different academic bodies on the Forum, to draft a letter to the Department for Education regarding the Forum's concerns about future education funding, particularly in relation to post 16 high needs funding but to include other matters of concern raised by each of the bodies represented on the Forum. It was agreed that each of the bodies represented on the Forum advise the chair of their groups' representative on the establishment of the working group.

(3) That forum members' remarks about the complexity of this issue (post 16

high needs funding) and the difficulties of giving the matter proper detailed consideration when reports are tabled at the meeting, be noted and that, in future, reports to the Forum should present alternative options for the Forum's consideration where possible, including alternative proposals and solutions that might be put forward by providers.

Update on mainstream cost pressures

Mr Haley introduced a number of issues that had arisen in relation to 2013/14 mainstream funding levels since budgets were set at the meeting of the Forum on 5th March 2013 and sought the Forum's agreement to the proposed response in relation to each of these.

Croft Academy Trigger Funding

Mr Haley explained that although Croft Academy is funded directly by EFA outside Swindon's DSG, the LA has been advised that the costs of pupil growth must be met from the retained budget. This was contrary to previous EFA guidance but Mr Haley acknowledged the logic of this as the LA would have had to provide trigger funding to another setting and it would not be possible for the new school to have accrued any surplus balances from which they could meet additional staffing costs.

Mrs Conner expressed concerns that references to Academy balances here and elsewhere in today's reports were inappropriate. Mr Haley advised that any references to school or academy balances were provided in reports to provide Forum members with contextual information regarding funding issues.

Resolved: That it be noted that approximately £77,135 of unplanned spend would need to be met from the 2013/14 pupil growth fund to provide trigger funding to Croft Academy and that further payments would need to be budgeted for in future years.

Orchid Vale Expansion

Mr Bradley explained that delays to the expansion project had occurred which should not penalise the school who had requested a payment of £10,000. Mrs Matthey asked why this cost could not be absorbed by the PFI contractor but Mr Bradley explained that this was not possible.

Resolved: To agree the payment of £10,000 additional funding to Orchid Vale School to cover additional teaching costs arising from the delay to the delivery of the capital programme

Update on SRP and other High Need Setting Cost Pressures

Mr Haley and Mr Bradley reported on various requests that had been received for additional funding in relation to high needs settings.

The Ridgeway ASC SRP Unit - pump priming for set up and early operating costs for the first two years

Mr Haley's assumption stated in the report that Ridgeway Academy would

most probably not have surplus balances from which SRP cost pressures could be met was challenged. Mr Haley reiterated that he felt that in light of the DSG funding freeze it was appropriate for Schools Forum to be advised on the general financial position of individual schools and academies whenever requests for funding were being presented. It was agreed that in future when commentaries on individual settings are provided in reports the school or academy is advised beforehand and invited to comment.

Resolved: That the payment of enhanced top ups for the first two years of a new provision opening be supported and that £43,284 be allocated to Ridgeway ASC SRP in the current financial year.

Redoaks SRP British Sign Language (BSL) Provision

Concerns were raised regarding the proposal to provide additional funding to meet the needs of staff training costs. Some Forum members felt that these costs should be absorbed within existing funding allocations. The risk associated with funding the training was also highlighted as there didn't appear to be any policies in place to prevent the staff from leaving the setting once they had received the training

Resolved: That, as part of a wider on-going review of provision of hearing impaired services, the payment of additional funding of £14,300 to the Redoaks Hearing Impaired SRP to enable the training of in house staff be supported.

Ridgeway Hearing Impaired SRP

This was confirmed as being a one off allocation falling over two financial years following concern being raised that the wording implied that it would be on-going.

Resolved: That the payment of additional funding of £18,000 to the Ridgeway HI SRP, of which £10,500 would fall in 2013/14, be supported.

White Horse Federation Issues

Mr Haley presented a summary of requests for increased annual funding relating to a range of services provided by the White Horse Federation which they felt were not fully covering their costs. The key area related to contributions to leadership and central school costs which the Federation did not feel had been adequately funded in previous years. Mr Haley informed the Forum that the principle applied to this request would set a precedent for all other services commissioned and funded by the LA. Mr Haley went on to suggest that the principle of whether/how indirect overheads costs should be funded should be considered by the recently established high needs task group as part of a wider review of 2014/15 specialist setting funding. He suggested that, if the principle to provide funding for overheads was supported this could be retrospectively applied to the 2013/14 Financial Year subject to Schools Forum consideration.

There was a discussion around whether these requests were an issue for Schools Forum as it was felt the LA had the delegated authority to decide which costs are funded. The discussion went on to question the process followed to agree the 2013-14 funding allocations as it was felt that further guidance could have been provided to help schools fully understand their allocations. Mr Haley felt that an

effective consultation process had taken place but that issues had arisen after funding had been agreed. He would seek to improve the consultation process leading up to 2014/15 budget setting.

Resolved: That the requests for additional funding from the White Horse Federation in relation to leadership and management costs be deferred until the SEN Task group had completed the review.

Proposed Introduction of new High Needs Top Up Rate

Mr Haley explained that the current banding and funding system was meeting the needs of the majority of high needs pupils but for those pupils with exceptionally complex needs this did not provide sufficient funding. To address this issue Mr Haley proposed that the SENRAP panel should be given flexibility to allocate additional funding on a case by case basis for pupils identified as having extreme needs.

Mr Colledge expressed a view that the current place plus funding arrangements for specialist settings was flawed. Mr Haley assured the Forum that all funding was being provided in accordance with DfE requirements and decisions made at the Schools Forum. The high needs task group would be examining all aspects of current funding arrangements.

Resolved: That, where appropriate, the payment of enhanced top ups by the Commissioner for Education, based on recommendations by the SENRAP Panel, backdated to 1st April 2013, be supported.

Funding of additional SEN places

Mr Haley reported that whilst the LA would wish to provide both place and top up funding to any specialist setting which took a pupil over and above their planned numbers, due to pressure on the retained budget this may not be affordable. Under the DfE school funding reform arrangements whilst top up fees must be payable, the place funding element of £10,000 per year was optional. The LA would therefore consider each case individually but with an expectation that such payments would be exceptional rather than automatic.

Resolved: That the Schools Forum note that, where additional places are required above planned numbers, the Authority's "default position" is that only top up fees will be payable, although individual cases will be considered.

Revised EOTAS Alternative Provision Top Up Fees

Mr Haley reported on (i) the revised treatment of exclusions and other income and, in particular, the revised top up fees payable to EOTAS in respect of students attending Stratton and Riverside, and (ii) the revised treatment of non-exclusions income from 2014/15 requesting Schools forum to support the LA's proposal to consult on the basis of increasing delegation.

Mr Colledge suggested that it may be more appropriate for the additional funding to be delegated via the Basic Per pupil Entitlement (BPPE) factor as opposed to Low Prior Attainment as suggested in the report. Mr Haley would therefore include this option in the forthcoming SASH consultation event.

Resolved: (1) That the revised treatment of exclusions and other income and the revised top up fees payable to EOTAS for Stratton (£9,750) and Riverside (£9,500) be noted.

(2) That the revised treatment of non-exclusions income from 2014/15 be noted and that the Authority's proposal to consult with SASH on the basis of increasing delegation was supported.

Proposal to enter into a Service Level Agreement for Travellers' Children

Mr Bradley reported on the Authority's decision not to centrally retain funds to support the education needs of Travellers' children and the implications of this decision in relation to support for the children of fairground and circus workers.

Resolved: That the creation of a new centrally retained high need budget of £5,000 to commission education provision for children of fairground and circus workers be agreed.

4. School Funding Reform Changes 2014/15

The Forum received a report on the school funding reform changes affecting mainstream settings required for 2014/15 arising from the Department for Education (DfE) 4th June 2013 announcement.

Due to time constraints the recommendations included within the report were not discussed or voted upon. Mr Haley advised that the majority of the report set out background information on matters that would be included in the forthcoming consultation events and that any decisions could be deferred to the October Forum meeting.

5. Forecasting of School Balances 2012-13

The Forum received a report advising on the final position, as at 31st March 2013, of school revenue balances compared to the position forecast by schools in December 2012. It was noted that the Authority was required to monitor the level of school balances held by schools to provide assurance to the Council's Board Director Resources regarding the financial sustainability of individual schools and to help ensure the local fair funding formula is as equitable as possible.

Mr Haley advised the Forum that the LA had been wrong to identify Abbeymeads as being inaccurate in forecasting their balances as their December forecast did not reflect the Community centre position which was included in their final balance. The LA had telephoned and written a letter of apology to the Headteacher about this.

Mr Haley highlighted that the majority of schools had been effective in forecasting their balances within the parameters agreed by the Forum but that explanations needed to be sought from 6 schools whose final balances were significantly higher than had been forecast in December. Mordeon school have been in this position for three years now which indicates that improvements to their internal forecasting procedures may be required.

Mrs Conner expressed concerns that specific reference had been made to

Moredon school and that an opportunity to explain their position should have been provided. Mr Colledge added that the naming and public hanging of individual schools was not appropriate. Mr Haley responded that the report tabled today was in the same format as previous years and covered all schools. Performance, in terms of forecasting accuracy, has been measured against the control of balances scheme agreed by the Schools Forum and the next stage in the process was to seek explanations from schools which would be fed back to the Schools Forum. Mr Capstick suggested that aspects of the scheme should be revisited.

Resolved: That the Schools Forum:

(1) Note that:

- the majority (61%) of Swindon maintained schools were accurate in forecasting their year end balances as measured by the thresholds agreed by Schools Forum
- only 6 schools reported significant variances between their forecast and actual outturn positions and will be contacted by the LA for explanations
- actual school balances were 43% higher than the December forecast of £3.5million
- the Authority would present further information on the planned use of school balances to the October meeting of the Schools Forum when it would make recommendations for any potential claw backs.

(2) Note that Abbey Meads Primary School had been incorrectly rated as “red” in the report mainly due to the school bringing community facility balances into its accounts at the end of 2012-13 meaning the comparison to the December 2012 estimate shown at Annex A did not provide a like for like comparison.

(3) That, with reference to their concerns regarding the presentation and content of this report, the agreed criteria for the revised scheme for monitoring and managing schools balances be re-circulated to delegates in order to facilitate a review of the forecasting process, particularly in relation to the reporting of significant variances between schools’ forecast and actual outturn positions.

6. New Schools Financial Value Standard

The Forum received a report providing an update of the position for Swindon schools in submitting their initial Schools Financial Value Standard (SFVS) self-assessments, as required by DfE. Due to time constraints this report, which was provided for information only, was not discussed in detail.

Mr Haley advised that all schools had submitted their statements which would be reviewed over the summer period and an update regarding any issues would be provided to the Schools Forum.

7. Dates of Meetings for 2013/14

The Forum was asked to note its schedule of meetings in the 2013/14 Municipal Year.

- 8th October 2013
- 21st January 2014
- 11th March 2014

2013-14 Dedicated Schools Grant Budget position & Final Funding Announcement

Schools Forum

Date: 8th October 2013

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

1. Purpose and Reasons

- 1.1 To advise Schools Forum members of the latest projected 2013-14 DSG retained budget position and to report the updated 2013-14 DSG settlement position which was confirmed by the DfE in July.
- 1.2 The 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 2013-14 retained budgets based upon available information at the end of August 2013.
- 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 Economy and Attainment Leadership Team each month. Updates are also periodically provided to Corporate Board, Cabinet and the Children and Young Peoples Overview and Scrutiny Committee.
- 1.4 The DSG grant conditions require each LA's Chief Financial Officer to report the final settlement figure to their Schools Forum following confirmation and to certify to the Department for Education (DfE) that this has been done by 31st October 2013. In accordance with grant conditions, the year-end DSG balance (whether positive or negative) must be carried forward to the following year and the Schools Forum must be consulted on how the surplus or deficit is managed.

2. Recommendations

The Schools Forum is recommended to:

- 2.1 Note the latest position for the retained DSG budgets which is that an underspend of £0.373m is currently projected.
- 2.2 Note the latest 2013-14 DSG settlement confirmed by the DfE of £145.449m.

Further information on the subject of this report can be obtained from Sarah McCombe, 01793 465752, smccombe@swindon.gov.uk.

2013-14 Dedicated Schools Grant Budget position & Final Funding Announcement

Schools Forum

Date: 8th October 2013

3. Detail

Latest 2013-14 Retained Budget Position

- 3.1 At the 6th March 2013 Schools Forum meeting the values of the three blocks; Early Years, High Needs and Schools were agreed. The retained elements of these budgets were agreed at a value of £27.1m. Attached at **Annex A** is the report issued to the Economy and Attainment Leadership Team on 24th September which was based on information at the end of August and shows that an underspend of £0.373m is projected across the overall retained budget. The main reasons for this and commentaries on all high risk areas are provided in Annex A.
- 3.2 At this relatively early stage in the financial year, given the many high risk areas within the retained budget, the LA is cautious in assuming that this level of underspend will occur and therefore be available to allocate in 2014/15. Updates will therefore be provided to the January 2014 Schools Forum but for DSG planning purposes the LA would suggest that any projected in year surplus is ignored at this time.

Schools Forum is asked to note that the latest projection on the 2013-14 retained budget is an underspend of £0.373m

2013/14 DSG Settlement Update

- 3.3 At the last Schools Forum meeting the LA advised that the latest estimate of this year's DSG was £145.554m and DfE have since confirmed that this has been updated to £145.449m. This reflects a reduction of £0.106m and relates entirely to the January 2013 early year census. Although this means that less DSG funding will be received this year, spending on provision (see Annex A) is lower than the budget and there is no overall impact on Swindon's DSG position.

Schools Forum is asked to note that the latest 2013/14 DSG settlement is £145.449m

4. Alternative Options

- 4.1 There are no proposals included within this report.

2013-14 Dedicated Schools Grant Budget position & Final Funding Announcement

Schools Forum

Date: 8th October 2013

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.

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

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

Links to One Swindon, Plans and Policies

- 5.4 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".

Diversity Impact Assessment

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

Risk Management

- 5.6 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 Annex A – Commissioning – Economy and Attainment Leadership Team

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Report to: **Commissioning – Economy and Attainment Leadership Team**
 From: Sarah McCombe, Finance Manager – Education and Innovation
 Date: 24th September 2013
 Subject: **Budget Monitoring Report for September 2013 – DSG Services**
 Period: Period to the end of August 2013

1) Background

The Council's corporate budget monitoring timetable requires each Group to report its forecast outturn position each month. In addition to financial forecasts, information is also provided regarding Budget Manager participation in the on line forecasting process.

Although the DSG position is included in Corporate Board 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 Commissioning (Economy and Attainment) and his leadership team to manage in consultation with the Finance Team and Schools Forum

The DfE's school funding reform programme has required significant changes to be implemented in 2013/14 both relating to the formula by which delegated funding is allocated to schools and academies and in the management of the retained DSG budget. Funding to meet the costs of providing free nursery entitlement to disadvantaged 2 year olds (previously allocated to LAs as core funding within the Early Intervention Grant) has been transferred into the DSG from the start of this financial year. Furthermore the LA's role has been extended from September 2013 to include responsibility for the commissioning and funding of post 16 high need student places in FE Colleges and Independent Specialist Providers.

A summary of how the 2013/14 DSG has been allocated is provided below

	<u>£m</u>	<u>£m</u>
<u>Delegated</u>		
Mainstream schools & academies	109.7	
Specialist settings (Special Schools and SRP's)	7.6	
Alternative provision settings	1.2	118.5
<u>Retained for provision</u>		
Disadvantaged 2 year old nursery places	0.9	
Free Nursery Entitlement 3 & 4 year olds	7.5	
In Year Pupil Growth	0.6	
High Need SEN		
Portage, SEN equipment, Therapeutic services etc.	0.5	
SBC top ups – mainstream settings	2.0	
SBC top ups - high need specialist settings	8.7	
Tuition Service	0.9	
Out of Borough placements	3.1	
Post 16 provision (new responsibilities)	1.6	
Exclusions income	-0.2	25.6
<u>Centrally Retained</u>		
Admissions, Free School Meal eligibility checks, school licences, equal pay etc.	1.1	
2 year old funding earmarked to meet 3 rd term of new post 16 costs in 2014/15	0.4	1.5
Total DSG Allocation		145.6

The overall value of the 2013/14 retained budget is £27.1m which in cash terms is significantly higher than previous years, primarily as a consequence of school funding reform changes which require the LA to make monthly “top up” payments to schools and academies in respect of high needs pupils based on actual occupancy whereas this funding was delegated in previous years. New funding responsibilities for 2 year old nursery provision and post 16 high need education have also increased the value of the retained budget. The table illustrates that the majority of the retained budget is actually spent on provision.

It is important to recognise that the level of additional DSG funding provided to meet the new post 16 funding responsibilities is considerably less than the estimated costs of meeting demand. Although the July 2013 Schools Forum agreed to allocate additional funding (from early years) towards post 16 provision, students are still enrolling on college courses and final costs remain uncertain.

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 to collate period end information. For DSG service areas the end of August completion rate was 92% compared with 94% for July.

NB: The average borough wide completion rate throughout 2012-13 was 73% whereas the rate for DSG budgets was 85%.

The Leadership Team is asked to remind their Budget Managers of the importance of this exercise and to encourage high participation for the remainder of the year. At the 4th September 2013 Children and Young People Overview and Scrutiny meeting concern was raised that anything less than 100% compliance was a serious concern and the reasons for any gaps must be provided to future meetings.

3) High Risk Areas and Latest Projections

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

Item	Notes	Budget 2013/14 £'000	Projected Variance £'000	Projected Variance last month £'000
High-Risk Areas				
Disadvantaged two year old nursery funding	1	918	426	425
Free nursery education (3&4 year olds)	2	7,500	0	(27)
High Needs Top us (Mainstream settings)	3	2,025	5	0
High Needs Top ups (Specialist Settings)	4	8,665	(58)	(43)
External Placement Fees	5	3,063	(362)	(254)
Post 16 Provision- New Responsibilities	6	1,550	(314)	(100)
School Exclusions & Temporary Placements	7	(237)	(50)	(50)
Schools Equal Pay Claims		160	0	0
Subtotal High Risk Areas		23,645	(353)	(49)

Other Low risk retained budgets		2,993	(20)	0
Surplus two year old funding to meet post 16 term 3 2014-15		453	0	0
Total Retained Budgets		27,091	(373)	(49)

The Leadership Team is asked to note the risk areas above and the forecast out-turn position which will be reported to Corporate Board and Schools Forum in October.

At the end of August an overall underspend of £0.373m is projected, compared to £0.049m at the end of July. The main reasons for the underspend are provided below:

- 1. Disadvantaged Two year old funding-** Although initial estimates suggested an underspend the latest forecast show that the original calculations expected the take up of places to be far lower than is now anticipated following the change to eligibility criteria resulting in a projected overspend of £0.426m. (If this is not offset by underspends across this year's retained budget there is capacity to absorb this from next year's Disadvantaged 2 year old DSG allocation).
- 2. Free nursery education for 3 & 4 year olds –** Unlike schools block DSG funding which is fixed from the outset of the year, there is now an in year adjustment to 3 and 4 year old nursery funding. This is allocated by the DfE based on the January 2013 census (which provides 5/12 of 2013/14 annual funding) and the January 2014 census (which provides 7/12 of 2013/14 funding). Although current projections are that the budget of £7.500m will be underspent by £0.114m due to a marginal reduction in take up, it is likely that this will be offset by a reduction to DSG funding following the January 2014 revision - although this will not be an exact match. Whether a net under or overspend will arise will therefore be unclear until towards the year end and a nil variance is projected at this stage.
- 3. High Needs Top ups (Mainstream Settings) –** The latest projections indicate an overall pressure of £0.005m although further pressure may arise later in the year as a result of increased SEN pupil numbers and the new SENRAP policy whereby costed requests must be submitted to secure funding over and above the delegated notional budget of £10,000. When the budget was set in January a £0.100m contingency was included which has already been committed primarily due to increased spend on early years SEN pupils which is now expected to cost £0.150m in 2013-14. This follows a change to harmonise funding so that PVI settings are funded the same as school settings.
- 4. High Needs Top ups (Specialist Settings) –** In setting this budget the LA set aside £0.188m for additional places in special schools and SRP's, most of which has now been committed as latest projections indicate an overall underspend of £0.058m. This reflects net changes in placements at Specialist settings and includes the costs of some additional pupils which would otherwise have needed to be placed in out of borough provision.
- 5. External placements -** Based upon the latest information available regarding new packages and changes to placements since the budget was set in January an underspend of £0.362m is projected. This indicates that the LA's contingency provision of £0.345m for a net increase of 5 potential additional placements has not been required so far.

- 6. Post 16 New Responsibilities** - An underspend of £0.314m is currently projected mainly as a result of working with Independent Specialist Providers to reduce the cost of packages and through negotiating increased contributions from social care. This projection assumes that the full amount of funding set aside for unallocated college placements will still be fully utilised in 2013-14. There are currently 46 pupils where the college placement remains unconfirmed but this uncertainty should reduce over the next month following closure of the 6 week transition period where pupils are given the opportunity to finalise their chosen course / college.
- 7. Exclusions & Dual Registration Income** - Latest projections indicate that an additional £0.050m of income will be generated arising from higher levels of exclusions and dual registration funding being clawed back from schools and academies. This may however put pressure on the Tuition and EOTAS services later in the year when the financial implications of taking on additional pupils arises.

5) Summary of Recommendations

The Leadership Team is asked to note:-

- The compliance rates for use of the on-line monitoring system set out in Section 2 and to remind Budget Managers of their responsibilities in this area – including the requirement to explain non-compliance to future CYPOS meetings.
- The Projected Out-turn set out in Section 3 which will be reported on to Corporate Board with updates provided to Schools Forum throughout the year and the risks attached to management of the retained DSG budget
- The importance of monitoring changes in demand within the early years block, particularly with three & four years olds as funding is directly linked to the number of pupils in early year's settings when the January census is completed. Peaks and troughs in take up need to be very carefully monitored so that under or underspends can be calculated.
- The risk associated with the projections for High needs budgets given that the outcomes of the moderation exercise are unknown at this stage. The finance team will need to work with the SEN Team to ensure robust projections are provided in future months.
- That further work to track high need pupil movements and placements would assist future budget setting and monitoring

Post 16 High Needs funding position 2013/15

Committee: Schools Forum

Date: 8th October 2013

Author:	Head of Finance (Education and Innovation) / Commissioner – Routes to Employment
Wards Affected:	All
Locality Affected:	All
Parishes Affected:	All
Settings Affected:	As the Dedicated Schools Grant is ring-fenced funding provided by the Department for Education to meet the educational needs of early years, school age and all 0 to 25 year old high needs pupils any decisions on how the grant is utilised indirectly affects all settings.

1. Purpose and Reasons

- 1.1 The purpose of this paper is to update the Schools Forum on the progress made with regard to 2013/14 Post 16 High Needs Student funding since the 9th July 2013 Schools Forum meeting and to outline the indicative position for 2014/15.

2. Recommendations

- 2.1 Schools Forum is asked to

- Note that latest projected full academic year costs are estimated at **£4.989m** which is £0.468m lower than was reported to the July Schools Forum
- Note that in light of the reduced estimated spending, the full balance of surplus 2 year old funding should not be required in the current year
- Note that the 2014/15 position remains unclear and there is still a £1m structural deficit between post 16 costs and funding which will need to be addressed as part of the 2014/15 DSG budget setting process
- Agree that the LA will develop a strategy for dealing with the 2014/15 post 16 shortfall after a meeting with the EFA on 24th October which will be agreed with the Chair of the Schools Forum and reported to the November school consultation events and January Schools Forum meeting.

3. Update on 2013/14 High Need Student Funding Position

Funding Available

- 3.1 At the July meeting Schools Forum Members were advised that the overall level of funding allocated by the DfE to cover the cost of Swindon's post 16 high need students was £3.639m for the 2013/14 financial year which equated to £4.345m

Further information on the subject of this report can be obtained from Steve Haley, Head of Finance (Education and Innovation) on 01793 465794 or at shaley@swindon.gov.uk.

Post 16 High Needs funding position 2013/15

Committee: Schools Forum

Date: 8th October 2013

for the 2013/14 academic year. This included one off additional funding of £0.350m which the LA had secured following a request for an additional £1m to cover the projected shortfall at that time between the annual costs of our new responsibilities and the funding that had been allocated.

- 3.2 Members were advised that the reason for the shortfall were basically due to our learner numbers being capped for funding purposes at 270 (when demand was estimated at 314 students) and the introduction of a national funding formula which provides us with funding based on a national average, whilst Swindon providers, in particular Swindon College, has historically received much higher levels of funding. To bridge the gap Forum members agreed that the LA could enhance post 16 funding by the £1m surplus DSG received in respect of disadvantaged 2 year old funding, noting that this would not be possible in future years.
- 3.3 A further complication is that not all post 16 high needs funding was included in our DSG as element 2 funding at £6,000 per student, based on initial estimates from each FE provider, is payable directly by the EFA with only the residual balance to cover element 3 top up costs included in our DSG allocation. This means that some providers will be overfunded if student placement numbers are lower than planned as there is no process by which element 2 funding can be clawed back.

Latest Post 16 Cost Estimates

- 3.4 In acknowledgement of the difficult funding position, Schools Forum supported the LA proposal to provide a 21% one-off enhancement to the funding allocated to New College and Swindon College although this still left them with lower funding per student than they had received in previous years. Furthermore both these and Cirencester college are not receiving any funding for students which the LA has determined do not meet the new eligibility criteria.
- 3.5 Attached at Appendix 1 are statements showing the latest position regarding each provider although final placement details will be confirmed during September and October as enrolment continues. The table below summarises the overall position which will provide placements for approximately 306 students – 36 more than we received funding for.

Further information on the subject of this report can be obtained from Steve Haley, Head of Finance (Education and Innovation) on 01793 465794 or at shaley@swindon.gov.uk.

Post 16 High Needs funding position 2013/15

Committee: Schools Forum

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Table 1 – Original and Latest Post 16 costings	<u>Full year position reported to the July SF</u>	<u>Updated position reported to the Oct SF</u>	<u>Change July to October</u>
<u>New</u>			
Cirencester College	£84,000	£84,000	£0
New College	£438,000	£438,000	£0
Swindon College	£790,855	£790,855	£0
Swindon College - late applicants	£656,500	£305,960	£-350,540
o/s applicants		£350,540	£350,540
Uplands post 19	£187,000	£116,500	£-70,500
ISP's	£1,356,800	£1,021,931	£-334,869
Sub total new responsibilities	£3,513,155	£3,107,786	£-405,369
<u>Existing</u>			
Uplands sixth form	£993,947	£993,947	£0
Mainstream SBC sixth forms	£28,800	£28,800	£0
NMSS & Independent sixth forms	£802,200	£692,376	£-109,824
OLA sixth forms	£119,820	£166,238	£46,418
Sub total existing responsibilities	£1,944,767	£1,881,361	£-63,406
Total full year costs	£5,457,922	£4,989,147	£-468,775
Total ACYR Funding Available	£4,345,178	£4,345,178	£0
Shortfall between costs and funding	£1,112,744	£643,969	£-468,775

Shortfall

- 3.6 The estimated full year shortfall reported in the July 2013 Schools Forum report was estimated at £1.113m and, whilst some placement costs have yet to be finalised, the position has improved considerably. Explanations of all significant changes are included at Appendix 1. This means that for 2013/14 it is now likely that only £0.644m of 2 year old funding will be required whereas £1.067m was earmarked for this purpose. This position could improve further depending on the final cost of late applicants.
- 3.7 The reduction in shortfall is mainly due to reductions in spending at Independent Specialist Providers through negotiated reductions in fees and increased contributions from Social Care.

Further information on the subject of this report can be obtained from Steve Haley, Head of Finance (Education and Innovation) on 01793 465794 or at shaley@swindon.gov.uk.

Post 16 High Needs funding position 2013/15

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- 3.8 It is however important to recognise that although the 2013/14 shortfall is now estimated at £0.643m the expected loss of £0.350m one off DSG funding in 2014/15 could still mean that we have a full year structural deficit of approximately £1m.

Reviewing the Process and confirming the Process for 2014/15

- 3.8 The LA is currently reviewing the process for the allocation of High Needs Funding at a range of settings with our partners. We will be building on the successful commissioning of placements during the process this year, and learning from and addressing some of the issues that have been apparent in the process.
- 3.9 In the 2014/15 financial year the pressure on the budget remains significant, with an increasing number of High Need Students being identified and no additional resource from the EFA to meet the growing demand.
- 3.10 Key decisions to be made by the LA include:
- The number of Element 2 places at individual providers to be agreed early in the year. This year, a number of 'pre booked' places were not used and the funding could not be redistributed.
 - The LA will need to confirm the approach and mechanism to allocate funding across the range of Post 16 Providers for 2014/15 to ensure further equity within the system and to ensure synergy with the processes in place to allocate funding for pre 16 High Needs learners.

4. Indicative position re Post 16 High Needs Student Funding 2014/15

- 4.1 The position for 2014/15 Post 16 High Needs funding remains unclear as DfE have yet to announce any details on whether / how additional places will be funded. This matter is of concern to the Local Government Association (LGA) which is coordinating information for the Association of Directors of Children Services (ADCS) aimed at ensuring that the number of places and level of funding allocated to Council's broadly matches demand and updates will be provided to the November Headteacher consultations and to the January Schools Forum.
- 4.2 For planning purposes the LA is currently projecting that there continues to be a pressure to the 2014/15 post 16 budget of approximately £1 million as reported in the July 2013 Schools Forum Report. This should be a worst case scenario and a meeting with the Education Funding Agency and all Further Education College providers has been scheduled for 24th October to discuss this. Following this meeting the LA will develop a strategy to deal with the shortfall which will be agreed with the chair of the Schools Forum and reported to the November school consultation events and January Schools Forum.

Further information on the subject of this report can be obtained from Steve Haley, Head of Finance (Education and Innovation) on 01793 465794 or at shaley@swindon.gov.uk.

Post 16 High Needs funding position 2013/15

Committee: Schools Forum

Date: 8th October 2013

5. Alternative Options

- 5.1 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 options available for the 2014/15 Post 16 High Needs budget will be presented to Schools Forum in January and will be included in consultations with all Schools and FE Colleges.
- 5.2 The LA's final proposals relating to 2014/15 will be presented to the Schools Forum in January 2014 and March 2014 and will need to be validated by the Education Funding agency to ensure they are in compliance with the new regulations.

6. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 6.1 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 early year's settings, schools, sixth forms, colleges and other providers cannot be determined although schools are protected by the Minimum Funding Guarantee which for 2014/15 prevents annual losses of more than 1.5% per pupil.
- 6.2 It is important to recognise that no setting is currently financially protected against reduced pupils or students although from 2014/15 the LA has an option to protect good and outstanding schools and academies from temporary falling rolls.

Legal and Human Rights Implications

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

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

- 6.4 Although the impact on individual settings cannot be determined at this stage the school funding reform programme is causing a degree of volatility in school finance which may have implications for schools and other providers which are detrimentally affected by the redistribution of funding. As reported elsewhere on today's agenda, cuts in post 16 high needs funding is directly affecting Further Education providers in 2013/14 and this position is not likely to improve in 2014/15.

Further information on the subject of this report can be obtained from Steve Haley, Head of Finance (Education and Innovation) on 01793 465794 or at shaley@swindon.gov.uk.

Post 16 High Needs funding position 2013/15

Committee: Schools Forum

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Links to One Swindon, Strategic Objectives, Plans and Policies

- 6.5 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”.

Diversity Impact Assessment

- 6.6 The DfE's funding reform programme is aimed at simplifying fair funding and 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

- 6.7 The key risks arising from this report are that local decisions relating to Post 16 funding could lead to an overspend on the 2014/15 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.

7. Consultees

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

8. Background Papers

- 8.1 Various documents issued by the Department for Education which were summarised in reports to the 9th July Schools Forum

9. Appendices

- 9.1 The following appendices are attached

Appendix 1 – summary of original and latest position regarding post 16 high need student costs 2013/14

Further information on the subject of this report can be obtained from Steve Haley, Head of Finance (Education and Innovation) on 01793 465794 or at shaley@swindon.gov.uk.

Post 16 High Needs Funding Update 2013/14

Cirencester College – new funding responsibility from September 2013

- The funding position since July Schools Forum remains unchanged. 5 learners identified by the LA who meet the High Needs Criteria have been funded at £38,680. A total of **£84,000** has been allocated due to 14 Element 2 places being allocated and there is no process for redistribution. The additional £45,320 is being used to provide places for late applicants. The LA is working with Cirencester College to identify any changes to placements (new or where placements have not been taken up by young people) since the beginning of term.

New College - new funding responsibility from September 2013

- The funding position since July Schools Forum remains unchanged.
- The LA is working with New College to identify any changes to the agreed 43 HNS placements (new or where placements have not been taken up by young people) since the beginning of term.
- The College have confirmed that within the total funding made available they will provide places for the 23 students which they felt were HNS but did not meet the LAs criteria. They have subsequently indicated that there may be further young people who fall in to this category. There is no funding implication for the LA for these young people.
- The total funding allocation to New College, including an agreed 21% uplift is therefore currently at **£438,000**.

Swindon College- new funding responsibility from September 2013

- 64 students identified by the LA as having High Needs were funded at **£790,855** including an agreed 21% uplift
- In July the Schools Forum did not agree to fund 52 students identified by Swindon College as requiring additional funding but assessed by the LA as not meeting the HN criteria. The requested value of the additional funding was £462,838. Swindon College agreed to place 50 of these learners with the overall funding available and additional funding was allocated by the LA for the remaining two pupils.
- The LA is working with Swindon College to identify any changes to the agreed 64 placements (new or where placements have not been taken up by young people) since the beginning of term.

Potential Late Applicants - new funding responsibility from September 2013

- At July Schools Forum an allocation of £656,500 was agreed from September 2013 – August 2014 to meet the needs of 81 Young People who were identified as High Needs Students where an application had not been received.
- Subsequently the LA has received requests for additional funding for 35 of the 81 learners who have made applications to local FE Colleges. The LA has allocated

£305,960 to meet the needs of these learners from the allocation agreed at the July Schools Forum

- As a number of placements remain unconfirmed the LA is assuming at this stage that the balance of funding (**£350,540**) will be utilised during 2013-14..
- 11 learners are no longer considered High Needs or have gone to ISP placements.
- The remaining learners have been referred to the Youth Engagement Service to follow up regarding education options. It must be noted that in the first few weeks of term there is still a high volume of new registrations at FE and alternative Post 16 provision.

Uplands Post 19 - new funding responsibility from September 2013

- Joint Commissioning between Education and Adult Health and Social Care took place in July.
- 9.2 FTE placements have been agreed with all placements being jointly funded with Adult Health and Social Care. The net annual contribution from DSG is estimated at **£116,500** which is lower than the figure of £187,000 reported to Schools Forum as a result of the commissioning process which secured funding from Adult Social Care.
- The agreed cost of each placement is based on the Place Plus Top Up funding agreed by the Schools Forum for special schools adjusted to recognise that some placements will be part time. As with all special school placements bandings will be subject to moderation.

Independent Specialist Providers - new funding responsibility from September 2013

- All placements for September 2013 have been made following review by the LA's Complex Needs Resource Panel (CNRP) to ensure appropriateness of placement and joint funding where appropriate to ensure value for money is secured.
- There has been an increase in placements at Independent Specialist Providers from 24 placements to 28 placements since the July 2013 schools Forum.
- The revised estimated annual cost for the 28 placements is **£1,021,831** which represents a saving from the estimate of £1,356,800 reported to the July Schools Forum. This is due to:
 1. Fee reductions for individual High Cost learners negotiated with providers totalling £126,264.
 2. Negotiated increased contributions by Adult and Children's Social Care for a number of residential placements totalling £256,365.
 3. SBC invoices are lower than anticipated because providers are excluding element 1 costs from their invoices on the basis that they will receive this funding from EFA on a lagged basis next year which reduces our annual spend by £160,439.
 4. Cost of 4 new placements since the original budget was set are estimated at £208,099
- The net reduction in costs for the year on agreed placements is £334,969

Uplands Sixth Form – existing funding responsibility

- No change is reported to the Uplands Post 16 sixth form Allocation. These 44 students have been assessed as part of the LAs banding and moderation system established for special school funding.
- Annual financial year funding will be based on the place plus methodology and is estimated at **£993,947** (£22,589 per student) although the banding system is being revised from April 2014 so that there is greater consistency between Special Schools and Special Resource Provision.

Out of Borough, Special Schools and mainstream sixth forms – existing responsibilities

- These 32 continuing placements have been commissioned by the LA
 - Mainstream sixth form funding is provided by the LAs SENRAP panel
 - Out of Borough placements are commissioned by the LA following value for money assessments by the Multi Agency Panel
- The on-going costs of these 32 continuing placements commissioned by the LA are estimated at **£887,414** (£27,732 per student) which is £63,406 lower than the July estimate of £950,820. Costs are made up from
 - £28,800 for mainstream SBC sixth forms
 - £692,376 for Non Maintained Special Schools and Independent Specialist providers
 - £166,238 for Other LA sixth form placements

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DSG and School Funding Reform Changes 2014/15

Committee: Schools Forum

Date: 8th October 2013

Author:	Head of Finance (Education and Innovation)
Wards Affected:	All
Locality Affected:	All
Parishes Affected:	All
Settings Affected:	As the Dedicated Schools Grant is ring-fenced funding provided by the Department for Education to meet the educational needs of early years, school age and all 0 to 25 year old high needs pupils any decisions on how the grant is utilised indirectly affects all settings.

1. Purpose and Reasons

- 1.1 The purpose of this report is primarily to advise Schools Forum Members of the latest position regarding 2014/15 DSG funding and spending requirements including the potential impact of school funding reform changes which are required arising from the Department for Education (DfE) 4th June 2013 announcement.
- 1.2 In previous years the LA was able to forecast annual DSG settlements in advance with a relatively high degree of confidence as the grant was entirely based on the January early years and school census information, both of which were predictable, and a single funding rate. Following introduction of the three block funding, whilst early years and school funding can still be predicted the basis of the high needs block is unclear and indications are that this may well be held at current year levels regardless of any demand changes.
- 1.3 At this stage the LA is therefore unable to quantify the estimated high needs block funding that will be available next year, with particular uncertainty over post 16 funding. Given that we have been required to absorb an unfunded £1m post 16 shortfall this year by fortuitously using a one-off surplus of 2 year old nursery expansion funding (which will not be available in future years) there is a real risk that all other budgets funded from DSG (retained services, early years nurseries, mainstream schools and specialist settings) could be detrimentally affected in 2014/15 if post 16 high needs spending cannot be contained within the post 16 funding available. Forum members are reminded that whilst the DSG is now made up of 3 separate funding blocks nothing is ring-fenced and it is for LAs in consultation with their Schools Forums to allocate funding to best meet the needs of their areas taking account of demographic and other pressures, albeit within the constraints of the school finance regulations which provide a degree of MFG protection to schools.
- 1.4 Despite the uncertainty over total DSG funding the LA is required during this term to complete a consultation programme via the three Headteacher Associations

DSG and School Funding Reform Changes 2014/15

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and other forums over changes that are required (or are optional) arising from the school funding reform programme. For example the LA is now able to provide sparsity funding, looked after children funding and a higher lump sum for secondary schools and must widen the scope of eligibility for low prior attainment funding. In consulting with schools on these options we must model the impact of changes on school budgets whilst the overall quantum available cannot be certain. Furthermore, in setting 2013/14 budgets Schools Forum supported the LA recommendation to temporarily enhance primary BPPE rates by using half of the DSG brought forward balance available (£0.9m) with a view to reviewing whether this was still the most pressing priority for 2014/15. The LAs modelling of formula changes will therefore need to be undertaken with and without the primary BPPE increase being repeated next year and with a general degree of uncertainty regarding overall funding levels.

- 1.5 A report setting out the various 2014/15 funding issues was included at agenda item 5 in the 9th July Schools Forum agenda papers but due to extended discussions on post 16 funding this report was not discussed. Forum Members may wish to bring this part of the report (pages 37 to 64) to this meeting as it provides background information on the areas of funding which the LA was already committed to reviewing and also those areas which we are required by DfE to review for 2014/15. Some changes must be implemented whilst others are optional and the LA has commenced its 2013 consultation programme based on the content of this report and an update on findings from the first round of discussions with SAPH, SASH and ASSSH/SRP/AP settings is included in this report for consideration by the Schools Forum.
- 1.6 The report also seeks Schools Forum support to seek Minimum Funding Guarantee (MFG) exemptions for some specific areas of funding when setting 2014/15 budgets to avoid excessive MFG costs being locked in to school budgets.

2. Recommendations

- 2.1 Under the Swindon Borough Council (SBC) scheme of delegation decisions relating to the local school funding formula are made by the Director of Children Services subject to consultation with the Schools Forum. As in previous years the LA intends to seek Schools Forum support for all such decisions.

2.1.1 Funding Available

- 2.1.1.1 *For planning purposes Schools Forum is advised to assume that the total value of 2014/15 DSG will be £146.880m. (para 3.5)*
- 2.1.1.2 *For planning purposes Schools Forum is advised to assume that only the existing brought forward DSG balance of £1.160m will be available for distribution in 2014/15. (para 3.7)*

DSG and School Funding Reform Changes 2014/15

Committee: Schools Forum

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2.1.2 Centrally Retained Budget

- 2.1.2.1 *Schools Forum is asked to support a 2014/15 central items budget of £0.422m. (para 4.3)*
- 2.1.2.2 *Schools Forum is asked to support the allocation of set up cost funding of £11.500 per additional primary class at a cost in 2014/15 of £0.058m. (para 4.5)*
- 2.1.2.3 *Schools Forum is asked to support the allocation of infrastructure set up cost funding of £35,000 per expansion class (where the scope of works meets the policy criteria) at a cost in 2014/15 of £0.105m. (para 4.6)*
- 2.1.2.4 *Schools Forum is asked to support the current trigger funding policy and agree a 2014/15 budget of £0.512m. (para 4.9)*
- 2.1.2.5 *Schools Forum is asked to support the start-up cost policy and agree a 2014/15 budget of £0.150m. (para 4.11)*
- 2.1.2.6 *Schools Forum is asked to agree a 2014/15 Free School Meal Administration Budget of £21,600 which will be recovered via de-delegation (£10,850) and Traded Service charges (£10,750) at £4.80 per FSM pupil. (para 4.15)*
- 2.1.2.7 *Schools Forum is asked to offer views on the provisional proposed 2014/15 high needs retained budget and agree that for planning purposes it would be reasonable for the LA to assume a budget of £5.337m. (para 4.17)*
- 2.1.2.8 *Schools Forum is asked to support the 2014/15 allocation of £0.608m towards SBC overheads. (para 4.21)*

2.1.3 Early Years

- 2.1.3.1 *Schools Forum is asked to note the 2014/15 disadvantaged 2 year old position and;*
 - 2.1.3.1.1 *Agree to retain the hourly rate of £4.95*
 - 2.1.3.1.2 *Agree to continue allowing the LA to retain £0.055m towards early years staffing costs (subject to annual review)*
 - 2.1.3.1.3 *Agree to retain the £0.40p retrospective supplement subject to this being reviewed again in January as part of the overall DSG budget position (para 5.5)*
 - 2.1.3.1.4 *Agree a 2014/15 budget of allocation of £2.488m*
- 2.1.3.2 *Schools Forum is asked to note the 2014/15 3 and 4 year old funding position and;*
 - 2.1.3.2.1 *Agree to retain current hourly rates and deprivation payments*

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2.1.3.2.2 *Agree to change quality payments to £500 for providers rated outstanding and £250 for providers rated good by Ofsted*

2.1.3.2.3 *Agree a 2014/15 budget of allocation of £7.823m. (para 5.9)*

2.1.4 **Specialist Settings**

2.1.4.1 *Schools Forum is asked to note that approximately £2.103m will need to be allocated to Alternative Provision settings in 2014/15. (para 6.2)*

2.1.4.2 *Schools Forum is asked to agree to the LA seeking approval to exclude the reduction in BESD premium funding from 2014/15 MFG calculations. (para 6.5)*

2.1.4.3 *Schools Forum is asked for their views and to support the proposed 2014/15 specialist setting funding framework. (para 6.7)*

2.1.4.4 *Schools Forum is asked to agree that the LA should seek DfE exemption to the MFG protection system to allow specialist setting funding transfers to be implemented over no more than 3 years. (para 6.8)*

2.1.4.5 *Schools Forum is asked to agree that the LA should establish 2014/5 specialist setting funding within an assumed funding level of £16.0m subject to review should any additional DSG be receivable. (para 6.11)*

2.1.4.6 *Schools Forum is asked to support the principle of the LA providing funding for outreach and commissioned services which reflects best estimates of the actual direct additional costs of the provision. (para 6.15)*

2.1.5 **Mainstream Settings**

2.1.5.1 *That after providing funding to meet known unavoidable cost pressures, existing mainstream funding values are retained as far as possible unless there is an overwhelming case to make specific changes. (para 7.6)*

2.1.5.2 *Schools Forum is asked to support the increased delegation of £398,900 via a secondary BPPE enhancement of £39 per pupil to 2014/15 funding rates so that schools have sufficient funding to pay top up fees for emotionally vulnerable pupils. (para 7.9)*

2.1.5.3 *Schools Forum is asked to support the increased delegation of any funding relating to Nylands PRU, Nylands assessment class and Mountford Manor SRP via a primary BPPE enhancement to*

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2014/15 funding rates so that schools have sufficient funding to pay top up fees for pupils attending these settings. (para 7.10)

2.1.5.4 Schools Forum is asked to review/challenge the LAs benchmarking analysis and, subject to affordability, support;

2.1.5.4.1 The retention of the temporary £54.77 primary BPPE increase – enhanced if affordable

2.1.5.4.2 The review of secondary LPA funding – funded via the re-distribution of secondary BPPE funding (subject to the consensus view of SASH) and / or by a direct increase to LPA funding if this is affordable

2.1.5.4.3 The review of secondary EAL funding – subject to the views of SASH with any proposals reported back to the Schools Forum on the basis that corresponding changes are restricted to the secondary sector (para 7.14)

2.1.5.5 Schools Forum is asked to agree to the LA seeking approval to exclude the one-off £54.77 boost to primary funding from the 2014/15 MFG calculation. (para 7.17)

2.1.5.6 Schools Forum is asked to agree to the establishment of a reception uplift factor whilst calculating 2014/15 school funding allocations. (para 7.22)

2.1.5.7 Schools Forum members are asked to support the creation of a new sparsity factor which provides eligible schools with £565 per pupil below the DfE threshold of 150 (para 7.28)

2.1.5.8 Schools Forum members are asked to agree that;

2.1.5.8.1 The primary sector lump sum is retained at £106,700

2.1.5.8.2 The secondary sector lump sum is increased to £175,000 with corresponding reductions to secondary BPPE rates. (para 7.32)

2.1.5.9 Schools Forum members are asked to support the proposal to create a Looked After Children factor at a nominal value of £1 (so that it can be included in our initial EFA submission) but that a decision is deferred pending further consideration by SAPH and SASH. (para 7.35)

2.1.5.10 Schools Forum members are asked to note the issues relating to split site funding and to defer any decision until SASH and SAPH have reviewed the matter in November. (para 7.39)

2.1.5.11 Schools Forum members are asked to note the increased eligibility for secondary sector pupils, confirm the retention of Low Prior Attainment as a funding factor and note the SASH request for modelling to be undertaken. (para 7.43)

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- 2.1.5.12 *Schools Forum members are asked to agree that Deprivation and NNDR funding remains unchanged and that the LA will seek to centralise PFI Affordability gap funding if this is allowed. (para 7.44)*
- 2.1.5.13 *Schools Forum members are asked to agree that pupil mobility, temporary falling rolls and exceptional premises factors will not be used in 2014/15 but will be kept under annual review. (para 7.45)*

3. 2014/15 Funding Available

Background

- 3.1 As described in the 9th July 2013 Schools Forum report, no changes are required by DfE for early years or specialist high needs funding as basic funding arrangements are unchanged. The LA was however already committed to the implementation of a universal banding/funding system covering all high need specialist settings and commenced a consultation process in July to achieve this. An update on progress to date is included at section 6 below. The LA must agree specialist setting funding allocations at the 11th March 2014 Schools Forum meeting at the very latest and will strive to achieve this at the 21st January 2014 meeting as was the case last year to give these settings as much planning time as possible. At today's meeting Forum members will be asked for their views on the LA proposals regarding the overall funding envelope that should be assumed will be available for specialist settings in 2014/15 so that any new formula is affordable and modelling of the impact of funding on individual settings is realistic.
- 3.2 The 4th June 2013 DfE announcement identified areas of mainstream funding that must and/or could be reviewed in determining 2014/15 local formula allocations and initial consultations have taken place with SASH and SAPH to progress these matters which are summarised at section 7 below. Whilst it is not possible or necessary to set precise funding values at this time the LA must agree the framework (i.e. which factors) are to be used to allocate 2014/15 funding with indicative values only as this information must be sent to the EFA by 31st October. Final funding values must be agreed at the 21st January 2014 Forum as that is the EFA deadline for setting mainstream funding.
- 3.3 The position regarding post 16 high needs funding remains the main area of concern. A separate report on this matter is included elsewhere on today's agenda and is the main source of uncertainty affecting the LA's DSG budget planning. The fundamental issue is that, if no additional post 16 high needs funding is secured and the costs of meeting demand for placements in Further Education Colleges, Uplands Sixth form, Mainstream Sixth Forms, Out of Borough and Independent Specialist Providers exceeds the funding available, how does the LA bridge any shortfall?

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Indicative 2014/15 DSG Funding Levels

- 3.4 The 4th June announcement confirmed that per pupil funding rates for early years (£3,888.06) and schools block (£4,102.23) funding would remain unchanged in 2014/15 meaning that funding per pupil remains frozen at 2010/11 levels. As an area with a growing population our funding will increase based on the school and early years census information but in real terms the value of funding per pupil is gradually being eroded after taking account of cost inflation. The basis by which the LAs High Needs Block funding will be calculated in 2014/15 remains unclear. Given the continuing demand pressures relating to increasing high needs pupil and student numbers this is a significant risk for the DSG, particularly in respect of post 16 provision.
- 3.5 At recent consultation events the LA has presented calculations of next year's DSG compared to the current year – this is shown at **Appendix 1**. Although the grant is expected to increase in respect of early years and mainstream pupils no inflationary increases have been provided and funding levels remains unchanged since 2010/2011. At this stage the LA must assume that high needs funding will remain unchanged other than an increase in post 16 funding to recognise that the LA's new responsibilities which took effect from September 2013 will have cost implications for 3 full terms in the 2014/15 financial year. The actual value of post 16 DSG we will receive next year will depend on the number of planned places that are commissioned as this will effectively top slice our funding by £6,000 per place (Element 2 funding).

For planning purposes Schools Forum is advised to assume that the total value of 2014/15 DSG will be £146.880m.

Balance Available From Previous Years

- 3.6 The only additional funding available is the **£1.160m** balance of unspent DSG brought forward from previous years as reported to the July Forum;

<u>Table 1 - DSG Balance Available</u>	£m
Final DSG balance b fwd from 2012/13	£2.150
Less - Primary BPPE increase	£0.900
Less - EOTAS retention for science lab	£0.067
Less - Trade Union release time	£0.023
add / less retained over / underspend 2013/14	?
Balance available for 2014/14	£1.160

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- 3.7 As reported elsewhere on today's agenda the LA is currently projecting an underspend of approximately £0.373 on the current year retained budget. At this relatively early stage in the year this cannot however be relied on as being available for distribution following closure of the year end accounts.

For planning purposes Schools Forum is advised to assume that only the existing brought forward DSG balance of £1.160m will be available for distribution in 2014/15.

4. Retained Budget Proposals

- 4.1 Set out below are the various elements of the retained budget. The School Funding Reform programme requires LAs to consult on specific areas of the retained budget (which were included in recent consultation events) but in the interests of transparency, the LA has set out below a full breakdown of proposed 2014/15 funding compared to the current year, as has been the approach in recent years. In some cases budgets are indicative only but represent the LA's best estimates of costs in 2014/15 and should, in overall terms, be sufficiently accurate for DSG planning purposes. Any updates will be provided at November consultation events and at the January and March Schools Forum meetings.

Central Items

- 4.2 The table below shows the areas of spending which fall into the DfE category of "Central Items" which must be consulted on and were included in SAPH and SASH consultation events;

<u>Table 2 – Central Items</u>	Budget 2013/14	Proposal 2014/15	OK?
Admissions	£194,700	£190,300	?
Schools Forum	£2,000	£2,000	?
Termination of employment costs	£100,000	£0	?
Equal Pay – 50% match funding	£160,000	£170,000	?
School Licences	£60,000	£60,000	?
Total central items	£516,700	£422,300	?
NB – The LA is no longer allowed to centrally fund school redundancies from DSG. Schools will be expected to take all reasonable steps to reduce spending without needing to make staff redundant. Equal pay is the best estimate of the LA's match funding requirement.			

- 4.3 The above proposals were supported by both SAPH and SASH

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Schools Forum is asked to support a 2014/15 central items budget of £0.422m.

Central Schools Items – Pupil Growth

- 4.4 The tables below relate to funds that must be retained specifically to provide pupil growth funding which is expected to occur after budgets have been set. All mainstream settings must be treated the same in terms of eligibility although, in line with recent years, all planned pupil growth is anticipated to be within the primary sector during 2014/15. Under the School Funding Reform (SFR) programme LAs are required to establish a policy by which funding is allocated and the values that are payable and proposals were included in recent SAPH and SASH consultations.

Table 3 – Pupil Growth Set Up Costs			
Item	Budget 2013/14	Proposal 2014/15	Policy?
Pupil Growth – set up costs (primary only)	£34,500	£57,500	£11,500 per expanding class x 5 (Even Swindon, Orchid Vale, Town Centre @ St Joseph's site, Tadpole Lane x2) Plus £35,000 per 1FE for new schools or where extra infrastructure is needed to create extra capacity in expanding schools; - Town Centre (1FE initially) - Tadpole Lane (2FE)
Add £10k for Orchid Vale (one-off)	£10,000	£35,000	
		£70,000	
		£105,000	
	£44,500	£162,500	
NB – all settings must be treated the same in terms of eligibility for this funding and any underspends must be carried forward as “pupil growth” must be ring fenced. For 2014/15 no spend is anticipated in secondary settings			

- 4.5 With regard to the value of £11,500 per expanding class to provide furniture, equipment and ICT etc. this was acknowledged as being challenging but sufficient and was supported by both SAPH and SASH. This value may however need to be reviewed in future years when secondary expansion takes place.

Schools Forum is asked to support the allocation of set up cost funding of £11.500 per additional primary class at a cost in 2014/15 of £0.058m

- 4.6 Based on recent negotiations with Haydonleigh and Croft regarding the need for additional set up cost funding to be provided where a new school is being built or where extra infrastructure is required, the LA is proposing that one-off funding of £35,000 is provided for a one form of entry expansion or £70,000 for a two form

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of entry expansion. This was supported by both SAPH and SASH subject to criteria being established which clarified “where extra infrastructure is required” and the following policy criteria definitions are proposed;

- Infrastructure set up funding will be provided for new schools or where the additional floor space (m2) planned for an expansion exceeds 50% of the additional teaching area (m2, excluding the hall) provided.

(NB – The LA is currently preparing a 3 year capital programme covering new schemes which will commence during the period 2014/17 and if possible we will try to secure sufficient funding to enable those set up costs which can, under accounting rules be treated as capital expenditure (i.e. class room furniture and equipment) and be included within the capital programme. If achieved this would enable the DSG set up cost budget to be reduced considerably in future years so that it only provided funds for revenue items such as curriculum resources. Given the huge pressures on the overall SBC capital programme (specifically arising from school place planning and condition issues) this may not however be possible. Many LAs have top sliced the annual DSG allocation specifically to enhance the LA schools capital programme but this option is no longer available. Further information will be provided to the Forum next year following confirmation of the capital programme.

Schools Forum is asked to support the allocation of infrastructure set up cost funding of £35,000 per expansion class (where the scope of works meets the policy criteria) at a cost in 2014/15 of £0.105m.

Table 4 – Pupil Growth Trigger Funding & Start Up Costs			
Item	2013/14	2014/15	Policy?
Pupil Growth – trigger funding (primary only)	£543,100	£286,950	Additional classes only (6 schools) not general pupil increases Extra 56 pupils @ 7/12 BPPE
Provision for Croft	£77,140	£86,390	
Provision for a) Town Centre b) Tadpole Lane		£46,280 £92,560	
Total Trigger Funding	£620,240	£512,180	See Appendix 2 for full breakdown
New school – pre start up funding a) Town Centre b) Tadpole Lane		£50,000 £100,000	£50k per expanding school OK? £100k per new school OK?
Total start up Funding	£0	£150,000	

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- 4.7 During last year's consultation events both SAPH and SASH agreed that trigger funding eligibility should be restricted to planned expansions only (funding had previously also been paid if general pupil numbers increased by more than 4%) and the LA has projected 2014/15 costs on this basis using the best pupil projection information available and assuming current levels of BPPE funding as shown at **Appendix 2**. Forum members are advised to note that the current policy is that whilst the LA will retain funding based on these estimates, actual payments to schools will be based on the actual net increase in total pupils between October 2013 and September 2014. As raised at the SAPH consultation, the proposed trigger funding budget is based on the LA's best estimate of pupil numbers and individual schools should contact Gareth Cheal if any are considered unrealistic.
- 4.8 Expanding schools will therefore be expected to exercise a degree of caution in incurring additional cost commitments based on the LA's estimates of trigger funding as there is a risk that this may be more/less than anticipated. Any change in policy to pay funding based on estimates rather than actuals would result in additional spending and therefore increased top slicing unless schools also agreed to not have extra funding if pupil numbers were above estimates. A potential alternative is to calculate trigger funding based on actual phased growth in the enlarging year group(s) only rather than the overall school increases to more specifically target trigger funding. This would mean the LA would exclude the impact of wider changes in pupil numbers across the whole school roll. The LA believes that funding should be pupil led wherever possible and that the current policy is reasonable. All expanding schools should be able to manage and mitigate their trigger funding risk within the totality of their annual funding and balances.
- 4.9 At the SAPH consultation the LA was asked to review whether Catherine Wayte primary school should have been included in the trigger funding estimates. As the initial expansion was in September 2007 the phased growth means that the expansion was completed by September 2013. Therefore, whilst the school is expected to receive trigger funding this year (as notified) there is no further planned growth for Catherine Wayte during 14/15. The proposed trigger funding budget for 2014/15 is therefore £512,180.

Schools Forum is asked to support the current trigger funding policy and agree a 2014/15 budget of £0.512m

- 4.10 With regard to pre start-up costs, 2014/15 is the first year where a policy for pupil growth funding has been needed under the SFR requirements and proposals are based on the model and level of funding applied to Croft school. Any new school is likely to open as a sponsored academy (or free school) and will not receive any EFA funding until it actually opens, typically on 1st September. LAs are therefore required to provide funding for Headteacher and other appointments to be made prior to opening and negotiations with the Croft school co-ordinating

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committee resulted in a schedule of phased appointments being agreed which cost approximately £100,000. Discussions at SAPH indicated that whilst challenging this should provide sufficient funding if appointments were carefully planned.

- 4.11 The LA is proposing therefore that up to £100,000 is provided as pre start-up funding for a new school (Tadpole Lane) which would be paid via advance instalments based on a spending plan agreed between the sponsors and the LA's Commissioner for Education. As was the case with Croft school, claims for actual costs will need to be submitted to the LA up to a value of £100,000. Where a school is expanding (as is expected to be the case with the new Town Centre primary school) the LA believes that existing staff should be able to absorb an element of the pre-opening planning work and that up to £50,000 should be provided, again subject to an agreed staffing plan and submission of actual claims. Proposed costs in 2014/15 are estimated at £150,000.

<i>Schools Forum is asked to support the start-up cost policy and agree a 2014/15 budget of £0.150m</i>
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De-delegation Items – Free School Meals Administration

- 4.12 Following agreement last year to fund Trade Union release time from one-off DSG balances up to the end of 2013/14 the only item which meets the DfE definition of de-delegation is Free School Meals Administration. The full annual cost of administering this service (which assesses and monitors eligibility by assessing approximately 4,500 claims per year against a national database and is provided by the Admissions Team) is estimated at £21,600. Under current arrangements Academies are charged in accordance with Traded Service charges whilst maintained schools directly provide de-delegated funding towards the LA service. The LA had not formulated proposals to present at the recent SAPH and SASH consultation events but expects continued buy back from Academies and Schools towards this relatively low cost valued service.
- 4.13 When Traded Service charges for Academies were first established the LA was unsure what level of service would be required, what level of take up would occur whilst costs were essentially fixed, and therefore what level of charges should be levied. Furthermore the scope of the Education Services Grant was unclear and government guidance to LAs on traded services is generally to ensure full cost recovery and to maximise income based on market conditions. Academies are currently charged £6 per FSM pupil which the LA acknowledges is above the current costs of £4.80 (£21,600 / 4,500 FSM pupils).
- 4.14 Now that service requirements and demand from academies appears settled the LA is proposing to reduce Traded Service charges to become in line with maintained schools from April 2014 and that all settings are charged £4.80 per FSM pupil as recorded on the October 2013 census. This charge will fully

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recover annual LA costs of £21,600 – approximately £10.750 will be recovered from Academies via Traded Services charges whilst £10,850 will automatically be recovered from maintained schools via de-delegation.

- 4.15 Schools Forum may request that this matter is referred back to SAPH, SASH and ASSSH for inclusion in the next round of consultation events although the values involved are relatively low.

Schools Forum is asked to agree a 2014/15 Free School Meal Administration Budget of £21,600 which will be recovered via de-delegation (£10,850) and Traded Service charges (£10,750) at £4.80 per FSM pupil

Centrally Held Pre 16 High Needs Budgets

- 4.16 Although the LA is not required by the DfE to consult on centrally held high needs budgets the LA believes that it is very important for Schools and the Schools Forum to understand and challenge these budgets given the level of overall high needs spending and perpetual increase in demand experienced by SBC each year. A schedule of current budgets and indicative proposed 2014/15 budgets is attached at **Appendix 3** and commentaries on key issues for consideration are provided.
- 4.17 Schools Forum is advised that for some areas such as Out of Borough placements, costings are provisional at this stage as is the contingency provision which is very closely linked to the on-going Specialist Setting consultation process. Any updates to these budget proposals will be provided to SAPH, SASH and ASSSH/SRP schools during the next round of consultation events and to the January and March Schools Forums. In order to assess the level of funding available for delegation to schools the LA must at this stage make certain assumptions about the level of central funding that will need to be retained.

Schools Forum is asked to offer views on the provisional proposed 2014/15 high needs retained budget and agree that for planning purposes it would be reasonable for the LA to assume a budget of £5.337m.

Corporate Overheads

- 4.18 When the DSG was introduced in 2005/06 the value of each LA's grant included funding to match the notional value of corporate overheads (primarily central staff and support costs) attributed at that time to support the delivery of early years, schools and other DSG funded services. For SBC the notional spend was £1.426m and this level of funding is still included in the annual DSG allocation.
- 4.19 Since then, as SBC staffing and other costs have reduced in line with reduced government funding, and some services have been delegated to schools, the recharge to DSG has reduced as follows:

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2010/11 - £1.426m

2011/12 - £1.220m

2012/13 - £0.860m

2013/14 - £0.660m less £0.107m for EOTAS = £0.553m plus £0.055m for disadvantaged 2 year olds = £0.608m

- 4.20 As these reductions have been phased this has effectively freed up DSG available for distribution to schools. The 2013/14 charge represents only 43% of the level provided for in Swindon's original DSG settlement. Rather than arbitrarily apportion overheads across retained DSG budgets (Tuition, EOTAS, Early Years etc.) as is required by DfE in the statutory Section 251 returns, the LA has separately identified these costs to provide full transparency to the Schools Forum.
- 4.21 For 2013/14 a number of factors affected the overhead allocations. A share of overheads totalling £107,000 was delegated to EOTAS (including property and ground maintenance) which they may choose to spend on other services. Earlier this year the LA inherited new post 16 high need student responsibilities without any additional funding and a responsibility to manage the substantial expansion of disadvantaged 2 year old provision for which Schools forum agreed that £55,000 of funding could be retained. For 2014/15 this budget will need to absorb the cost of a 1% pay award and employers pension contribution increase and no further savings have been identified. Forum members are asked to note the considerable amount of work that the LA has had to undertake to implement the school funding reform changes since 2010 without any increased funding. This work has had to be absorbed by the LAs core budget. A proposed retained budget for SBC overheads of £0.608m is required (including the continued allocation of early years funding) which represents 0.4% of the annual DSG.

<i>Schools Forum is asked to support the 2014/15 allocation of £0.608m towards SBC overheads.</i>
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5. Early Years Funding Issues

- 5.1 There are no changes that need to be implemented arising from the school funding reform programme and the LA is not proposing to make any significant changes to the funding rates or methodology for either disadvantaged 2 year old or 3 and 4 year old free nursery entitlements in 2014/15. This may however need to be reviewed in light of the overall DSG position.

Disadvantaged 2 year Old Nursery Funding

- 5.2 As reported to recent Forum meetings this element of funding was previously paid to LAs as part of their Early Intervention Grant core funding but was transferred into the DSG from 1st April 2013. Next year's funding will be provided on the basis of meeting a 40% take up target i.e. approx. 1,100 children although

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DSG funding is based on an assumed 84% take up (approx. 924 children / 526,680 hours) and is estimated at £2.617m.

- 5.3 The LA is developing plans to achieve this target and latest projections (assuming that payments of £4.95 per hour plus a £0.40p retrospective year end supplement and the continued allocation of £55,000 towards SBC early years staffing costs) are that costs will be £2.062m.

As reported elsewhere on today's agenda take up in the current year is higher than was anticipated when the surplus 2 year old funding of £1.067m was quantified in July and allocated to meet the post 16 shortfall. Latest estimates of current year spend are that an overspend of £0.426m will occur and the overall disadvantaged 2 year old position can be summarised as follows;

Table 5 – Disadvantaged 2 year old funding 2014/15		
<u>2014/15 funding</u> <ul style="list-style-type: none">924 children @ 570 hrs @ £4.97		£2.617m
<u>2013/14 spending</u> Provision – assuming a full year average of 658 children access 570 hours) <ul style="list-style-type: none">Basic funding @ £4.95 per hourSupplementary funding @ £0.040 per hourContribution to Early Years team costs	£1.857m £0.150m £0.055m	£2.062m
2013/14 overspend to be met from 2014/15		£0.426m
Total estimated spending requirement		£2.488m
Balance available to fund other DSG costs		£0.129m

- 5.4 Based on the above early estimates it may be possible to generate a surplus of approximately £0.129m from the disadvantaged 2 year old funding allocation. whilst still funding 1,100 children across the 2014/15 year. The forecast is based on an element of part year funding. The majority of children therefore start their placement and are funded mid-term (rather than from their 2nd birthday) before moving from 2 year old funding to become eligible for the 3 & 4 year old funding entitlement. An admission process is under development to manage the phasing of applications which will enable termly updates against the forecast for places and spending. Updates will therefore be provided to the January and March School Forum meetings. Should it be necessary to reduce early years costs next year in order to manage the overall DSG, Schools Forum are asked to consider whether the £0.40p retrospective supplement is a priority as ceasing this payment would save £150,000.

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Schools Forum is asked to note the 2014/15 disadvantaged 2 year old position and –

- Agree to retain the hourly rate of £4.95**
- Agree to continue allowing the LA to retain £0.055m towards early years staffing costs (subject to annual review)**
- Agree to retain the £0.40 retrospective supplement subject to this being reviewed again in January as part of the overall DSG budget position**
- Agree a 2014/15 budget of allocation of £2.488m**

3 and 4 Year Old Nursery Provision

- 5.5 In previous years, the LA has received funding for 3 and 4 year old nursery provision based on actual take up but with an adjustment to ensure funding is received to meet at least a 90% take up by 3 year olds. SBC has benefited from this adjustment by approximately £300k per year as our actual spend has always been higher than the DSG funding provided but the 90% adjustment has been phased out and will not be received in 2014/15. Next year's 3 and 4 year old funding is estimated at 2,055 pupils multiplied by our early years funding rate of £3,888.06 = £7.989m. Actual funding will not however be finalised until after the January 2015 early years census has been validated by DfE.
- 5.6 For 2014/15 no changes to current hourly rates are proposed, although an amendment to the quality funding is proposed as shown in the table below;

Table 6 – Proposed 2014/15 Early Years (3 and 4 year old) Funding Rates

Item	2013/14 Funding Rates	2014/15 Proposed Funding Rates	Commentary
Basic hourly rate			
• Standard per child	£3.75	£3.75	Provision over 38 weeks
• Enhanced per child	£3.91	£3.91	Provision over 48 weeks
Quality paid per setting (for 2013/14 this is based on staff qualification levels; for 2014/15 it is proposed that this is based on Ofsted gradings)	£500		Where staff are qualified/ training
		£500	For Ofsted "outstanding" grade
		£250	For Ofsted "good" grade
Deprivation paid per setting	£0 to £5,000	£0 to £5,000	Based on IDACI scores which are used to share approx. £70k

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- 5.7 Latest 2014/15 cost projections are that spending will be approximately £7.823m which is above the current year budget of £7.500m as this includes assumed increases relating to expanded nursery provision and child minder take up. This means that spending is estimated to be marginally less than funding which provides a surplus of £0.166m which can be used to offset pressures across the DSG. When setting the 2013/14 budget the gap between funding (£7.947m) and spending (£7.500m) was £0.447m and this higher sum was used to offset other DSG pressures. Up until 2014/15 the LA received extra 3 and 4 year old funding to take us up to at least 90% 3 year old take up.
- 5.8 With regard to the quality supplements the current funding agreement does not sufficiently recognise or incentivise additional payments to providers offering good and outstanding provision. As recent legislation makes it clear that Ofsted (and not the LA) determine the quality of provision in EY settings, using Ofsted grading to determine quality payments is proposed as a more appropriate mechanism for making these payments. An apportionment will be applied to childminders who do not provide for funded children for the full year.

Schools Forum is asked to note the 2014/15 3 and 4 year old funding position and;

- Agree to retain current hourly rates and deprivation payments***
- Agree to change quality payments to £500 for providers rated outstanding and £250 for providers rated good by Ofsted***
- Agree a 2014/15 budget of allocation of £7.823m***

6. Specialist Setting Funding Issues

Background

After implementing "Place Plus" funding for all specialist settings in 2013/14 no changes are required by DfE for 2014/15. LAs must agree in advance the number of places required in in each setting (at least every 2 years) which will automatically attract £10,000 "place funding" for SEN settings and £8,000 for Alternative Provision settings. The LA must also pay appropriate top up fees in respect of actual pupil occupancy. To meet the DfE deadline the LA introduced different bandings and band values for special schools and SRP's for 2013/14. As previously reported to the Forum the LA is however committed to the introduction of a more universal high need funding / banding system so that anomalies between Special Schools and SRP's could be reviewed and resolved although it is important to recognise that it is not necessary for funding rates to be precisely harmonised.

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Alternative Provision

- 6.1 For Alternative Provision settings separate top up rates were established for pupils attending Riverside and Stratton and further work will be undertaken to assess whether AP pupils should also be banded/funded according to differing levels of need. This will need to be carefully modelled and any changes will be implemented from 2015/16 at the earliest. At this stage 2014/15 places and funding is expected to be broadly in line with the current year (EOTAS attracts £2.039m whilst the Nylands PRU attracts £0.064m).

Schools Forum is asked to note that approximately £2.103m will need to be allocated to Alternative Provision settings in 2014/15

Minimum Funding Guarantee Exemptions - Special School BESD Premium

- 6.2 When the LA implemented a band based funding model for special schools in 2012/13 the level of funding per pupil allocated to both Nylands and St Luke's was higher than the other special schools. During consultations with ASSSH it was agreed that this was unfair but should be phased out over three years to give these settings time to reduce their cost bases. To maintain year 1 funding levels a BESD premium, initially at 30% above the basic band values was established in 2012/13, reducing to 20% in 2013/14 and 10% in 2014/15. The introduction of "place plus" meant that the phased reductions could only be applied to the top up element and funding rates were set in 2013/14 to produce the same overall reduction in funding as was originally envisaged.
- 6.3 For 2014/15 the third and final year of BESD premium funding will apply and indicative rates, which show BESD premiums reducing by 50% next year and to be harmonised with other special schools in 2015/16, are shown in the table below;

<u>Table 7 - Current and indicative 2014/15 Special School Top Up Band Values</u>			
Banding	2013/14 Actual	2014/15 Indicative	2015/16 Indicative
Band 1 with BESD Premium	£22,021	£18,489	£14,950
Band 1	£14,950	£14,950	
Band 2 with BESD Premium	£19,072	£16,264	£13,455
Band 2	£13,455	£13,455	
Band 3 with BESD Premium	£10,223	£8,049	£5,875
Band 3	£5,875	£5,875	
Band 4 with BESD Premium	£5,797	£4,132	£2,467
Band 4	£2,467	£2,467	

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- 6.4 After taking account of the fixed £10,000 place funding the impact of the indicative 2014/15 and 2015/16 top up rates will be to reduce BESD funding per pupil by 10% in each of the next two years. Clearly the above top up values may change as a new universal banding system is implemented but BESD premiums will be phased out as originally agreed. For 2014/15 in order to ensure funding is not locked into the two BESD special schools via the MFG protection scheme the LA will seek to exclude the reduction in top up value from the MFG calculation.

Schools Forum is asked to agree to the LA seeking approval to exclude the reduction in BESD premium funding from 2014/15 MFG calculations.

Specialist Setting Proposals 2014/15

- 6.5 In early June Gill Ilic, Commissioner for Education, wrote to all Specialist Settings inviting them to join a High Needs task and finish group which met on the 12th July (to discuss principles) and on 5th September to review the LAs initial proposals on a new draft framework for 2014/15. The report presented at the task group is attached at **Appendix 4** and the key principles, some of which were amended following discussions at the Task Group (see *text in italics*) are summarised below for Schools Forum consideration;

1. All pupils in SBC specialist SEN settings will be banded via the new 6 bands. Special Schools and SRPs will be funded at the same levels per pupil where bandings are the same. Funding per pupil will vary as follows;

Pupil Needs

2. Pupils with different prime needs will attract different levels of funding and 3 separate band values are proposed – *the LA would wish to acknowledge that there were concerns at the task group that Autistic Spectrum Complex (ASC) Funding Rates (which are proposed at levels which are broadly similar to existing SRPs) may be excessive and potentially unaffordable when applied to special schools whose highest need pupils are currently funded at £7,000 per year less than SRP's. This will therefore need to be reviewed after the implications of the new model have been costed and it may be more appropriate to establish an "ASC enhancement" of £7,000 which would only be payable in certain prescribed circumstances. Whether SRP's with ASC pupils could reduce their costs to provide education within a reduced level of funding comparable with special schools remains to be seen and will need to be reviewed by the task group.*
3. Existing Therapy supplements (which are currently payable to 2 special schools and 8 SRPs) will be absorbed into the new top up values and will not be separately shown – *this is subject to the LA and Headteachers being satisfied that this would not present difficulties for schools in fulfilling the*

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requirements of the statutory statementing process where therapy services are identified)

4. Pupils with secondary and tertiary needs will not automatically attract enhanced funding but bespoke levels of funding can be provided in certain circumstances. The new banding and funding system will cover the vast majority of pupils but bespoke values will be negotiated between the setting and commissioners where the complex needs of individual pupils are not adequately covered by the bands.

Enhancements

5. Supplementary funding over and above basic band values will be paid in respect of *all eligible pupils* as follows
 - a. Medical needs
 - b. Manual handling
 - c. Teaching requires British Sign language
 - d. *Potentially an ASC supplement may be established*

Age adjustments

6. Funding will be marginally higher for secondary age pupils in line with the long standing position on mainstream funding which provides higher funding at KS3/4 to recognise the increasing specialisation of teaching requirements arising from the national curriculum and costs associated with exams. (Although some pupils' bandings increased as they transition from primary to secondary education this is not always the case)
 7. Funding *may* be lower than secondary levels for post 16 sixth form pupils due to lower levels of DSG funding being received and to recognise that students may not require 25 hours teaching per week – *this is subject to the LA establishing whether the statementing process actually ensures that full time provision must be made available and a full assessment on the impact on Uplands school if a fundamental change to provision is implemented*).
 8. Early years' pupil funding will be the same as primary age funding but scaled down pro rata to reflect hours in school.
- 6.6 The LA believes that it is important that any new funding system is based on sound principles before the impact of funding on individual settings is quantified.

<i>Schools Forum is asked for their views and to support the proposed 2014/15 specialist setting funding framework.</i>
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- 6.7 Clearly these principles may need to be revised after values are determined but the Task Group supported the LA proposal that any new funding system should be phased in over 3 years so that Schools / SRPs facing reduced funding have time to reduce their cost bases. This provides lower levels of protection than the

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current MFG system which ensures no setting loses more than 1.5% funding per pupil per year although this rate has yet to be determined by DfE for 2015/16 and could be less generous. If funding is allowed to be protected by MFG it could take a number of years before increased funding would be paid over to settings which should gain from the new system.

Schools Forum is asked to agree that the LA should seek DfE exemption to the MFG protection system to allow specialist setting funding transfers to be implemented over no more than 3 years.

- 6.8 As there is a considerable degree of uncertainty over the level of high needs funding that will be included in next year's DSG, discussions with the Task Group have been based on an assumption that costs of the new formula may well have to be contained within the level of existing budgets – even with an overall high need place numbers increase. For 2013/14 we were allocated an additional £228,000 specifically for high need pupil growth but there is nothing to confirm whether any such increase will apply to 2014/15. The LA is proposing therefore to aim to contain next year's specialist setting funding within an overall budget of £15.7m based on the table below;

Table 8 – Existing 2013/14 SEN Specialist Setting Funding					
	No of FTE places	Place / Fixed	Top up	PFI	Total
6 x Special Schools	470.4	£4,704,167	£5,248,791	£264,379	£10,217,337
15 x SRP's	168.0	£1,680,000	£2,354,947		£4,034,947
11 x Outreach & Commissioned services	N / A	£1,224,985			£1,224,985
HN contingency			£188,000		£188,000
Totals	638.4	£7,609,152	£7,791,738	£264,379	£15,665,269

- 6.9 It is relevant to note that existing funding reflects some increased places from September 2013 which attracted only part year (7/12) funding in 2013/14 – even without any further increases in places, an additional (5/12) cost will be incurred next year whilst the overall high need budget may need to remain unchanged. Furthermore the Schools Forum in July agreed the LA proposal to pay double top ups to provide pump priming funding to new SRPs (initially the Ridgeway ASC Unit at a full year additional cost of £95,842) and additional funding of £18,000 for the Ridgeway HI unit. The new HI BSL provision at Isambard would also benefit from double top ups in 2014/15 and 2015/16 if placements are made.

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- 6.10 All of the above cost pressures will need to be absorbed from the existing budget (i.e. by reducing top up values) unless either early years or mainstream funding is reduced (which may not be supported by the Schools Forum) or additional DSG is unexpectedly secured. Maintaining costs within the existing funding envelope will therefore be extremely challenging and the LA acknowledges that if insufficient funding is provided for in house SBC provision, the alternative costs of external placements would be even less affordable. Should any DSG high needs funding increase arise the LA would look to pro rata upwards the new funding rates in line with the funding available.

Schools Forum is asked to agree that the LA should establish 2014/5 specialist setting funding within an assumed funding level of £16.0m subject to review should any additional DSG be receivable.

Place Funding

- 6.11 The first thing to agree is the number of places that the LA will require from April 2014 and September 2014 in each Special School and SRP. The estimate for September 2013 SRP pupils was 173 whilst current pupils are only 163. This means that unless place numbers increase between October to March, funding will have been allocated of £58,333 (10 places at £10,000 for 7 months) to settings which, with hindsight, is above the level they should have received although this is due to unforeseen fluctuations in pupil numbers which are inevitable to some degree. The LA must therefore aim to agree place numbers for 2014/15 which are the minimum expected places in each setting otherwise excessive place funding will be paid out, thereby reducing funding that could otherwise be added to top up values. Schedules have been presented to the task group and latest estimates are as follows;
1. Special Schools – 492 from April remaining at 492 from September
 2. SRP's – 166 from April rising to 171 from September (168.9 FTE)
- 6.12 These place numbers will be refined over the next few weeks but indicative costs @ £10,000 per place for 660.9 FTE places are **£6.609m**. This is an increase of 22.5 FTE places over the current year at an additional annual cost of £225,000.

Outreach and Commissioned SEN Services

- 6.13 The LA will also need to agree 2014/15 funding for the 11 SEN outreach and commissioned services which currently receive £1.225m per year. The White Horse Federation has requested an annual increase of £12,698 above current levels for the behaviour support service they provide from Nylands as they feel that their funding does not fully cover leadership and central service costs. A decision on this will need to be taken as part of the task group's review. The LA's view is that the costs of providing these services should not in any way be subsidised from the Mainstream or Special School budget but that settings

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should also not in any way be double funded for leadership and central school costs, particularly given the overall difficulty in managing the 2014/15 DSG.

- 6.14 If the consensus view of the Task group is that these costs should be funded and this is supported by the Schools Forum, the LA would suggest that a % uplift should be applied on top of direct costs for all provisions but any additional costs would have to be met by reducing high need top up values. The LA would therefore suggest at this stage that costs are contained within current funding levels of **£1.225m** unless individual cases requesting additional funding are supported by the High Needs task group in which all services must be treated the same.

Schools Forum is asked to support the principle of the LA providing funding for outreach and commissioned services which reflects best estimates of the actual direct additional costs of the provision.

Contingency Requirement

- 6.1 In managing the overall high needs budget, after agreeing planned place numbers in all specialist settings both within and outside the Borough the LA will also need to establish a contingency budget to meet the costs of additional in year placements. Initial estimates are that approximately 16 additional pupils will require placements from April 2014, rising up to 40 from September 2014. Further work is being undertaken to estimate demand by type of need and probable placement type and resulting part/full year costs but latest estimates are that £1.028m will need be set aside to fund potential additional placements (see Appendix 3) of which **£0.586m** is expected would be paid over to SBC specialist settings.

Top up Values

- 6.2 An outline estimate of the amount of funding available for top ups is shown in the table below;

Table 9 – Indicative value of 2014/15 Top up Funding		
Cost Item	£m 2013/14	£m 2014/15
Special School and SRP places – 660.9 FTE @ £10,000	6.384	6.609
Outreach and commissioned services	1.225	1.225
PFI Affordability Gap contributions (unavoidable cost)	0.265	0.265
Contingency Requirement	0.188	0.586
Sub total	8.062	8.685
Balance available for top ups (3.8% reduction required)	7.604	7.315
Total Specialist Setting Funding	15.666	16.000

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- 6.3 In order to provide a new fair funding model, top up values will need to be set which broadly equate to the cost of provision but this cannot be an exact match. The funding system will need to provide an overall funding allocation which each setting will then use to set appropriate staffing levels and budgets to meet curriculum and running costs. The key requirement is to establish band values which have appropriate stepped increases as the cost of meeting needs increases. Proposed funding values for 2014/15 are attached at **Appendix 5** although it is important to recognise that these are indicative only and may need to be increased or decreased depending on final place numbers, bandings and the quantum of high needs funding available.
- 6.4 The LA has recently received a breakdown of how existing pupils have been aligned against the new 6 bands following a moderation exercise and estimates will need to be made of the likely bandings of new pupils from next April and September. This will enable the LA to quantify the 2014/15 costs of the new top ups based on the values at appendix 5. These values may need to be flexed to ensure overall affordability before the impact on individual settings can be determined. This will be reported to the next meeting of the high needs task group on 15th October.

7. **Mainstream Setting Funding Issues**

Existing Formula and Funding

- 7.1 A much more simplified mainstream funding formula was introduced from the start of 2013/14 and attached as background information are summaries which were presented at the recent Headteacher Association consultation events to provide overviews to current primary and secondary funding;
- **Appendix 6** – Existing mainstream funding rates
 - **Appendix 7** – Pie chart showing existing distribution of primary mainstream funding
 - **Appendix 8** – Pie chart showing existing distribution of secondary mainstream funding
- (For 2014/15 DfE require that at least 80% of mainstream funding is allocated via pupil led funding – SBC is currently allocating 87% of primary and 95% of secondary funding via BPPE and other pupil led factors)

Strategy for 2014/15

- 7.2 So far (after redistributing former Standards Fund grants in 2012/13 which did have significant implications for a small number of schools which benefited from previous historic allocations) we have sought to maintain stability for Swindon schools by harmonising funding factors but retaining overall sector totals. For

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example when secondary lump sum values had to be reduced the cash saving from this change was redirected to boost secondary BPPE rates. This has helped to minimise MFG costs;

- 12% of SBC primary schools are receiving MFG compared to a national average of 35%
- No SBC secondary school is receiving MFG compared to national average of 30%

7.3 The LA and Schools Forum must now consider whether we should start to move towards national/regional averages and allow sector funding to change, accepting that this may put some settings into MFG. Set out below are commentaries relating to changes that either could or in some cases must be implemented in 2014/15 and Forum Members are reminded that any increases must be funded from decreases in other areas. In formulating mainstream proposals the LA has accessed the DfE School funding data base to provide high level national and regional benchmarking information which has been compared to the local mainstream funding formula. Whilst the government has not specified when either the national DSG grant distribution system or a new national school funding allocation system will be introduced (other than this will be after the next general election) the LA feels that in principle steps towards regional averages should be taken if possible to minimise disruption when national changes are imposed.

7.4 The following DfE quotes from School Funding Reform documents have been included in recent consultation presentations and are provided for Schools Forum members to provide a flavour of the policy direction;

“Our aim is to have fairer, more consistent and transparent system so that funding intended for education reaches schools and the pupils that need it most”

“We have made it clear that we want to move towards a position where a much greater proportion of a school’s funding is allocated on a per-pupil basis, reflecting the needs of the pupils attending that school”

“We recognise that changing a historic system will inevitably create some turbulence so reforms are being introduced gradually with MFG protection”

“LAs and their Schools Forums developed new formulae for 2013/14 using simplified and consistent clearly defined factors. Most of the arrangements will remain in place but we will make a number of changes which will move us closer to a national funding formula and which will address the unintended consequences which arose as a result of the 2013/14 reforms”

“In a move towards a pupil led system there will be changes to schools’ budgets and some degree of reallocation of funds between schools”

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- 7.5 The LA has therefore tried to assess areas in the local formula where current funding is above or below regional averages to help identify potential changes. There are no shortages of areas where additional funding has been requested but no areas where current funding is considered excessive. If sufficient funding reductions cannot be identified to offset funding increases it may for example be necessary to apply a global reduction to all funding values in order to contain spending within the funding available. The LA feels therefore that it is appropriate to challenge any area of funding that is above regional/national averages.
- 7.6 It is relevant to consider whether stability is more important than making changes which, whilst aimed at improving fairness, could be reversed in future. The LA is keen to avoid being responsible for a system that repeatedly produces different annual winners and losers as the same overall funding pot is marginally redistributed. Given the inherent shortage of DSG funding, Schools Forum is asked to note that balancing the books next year is going to be extremely challenging. *Schools Forum is asked to support the following strategic approach to 2014/15*

That after providing funding to meet known unavoidable cost pressures, existing mainstream funding values are retained as far as possible unless there is an overwhelming case to make specific changes.

SAPH / SASH Consultations

- 7.7 After presenting an overview on DSG prospects the LA went through a series of issues with SASH on 18th September and with SAPH on 19th September to seek the consensus views of sector Headteachers on various issues of principle so that the structure of the 2014/15 local formula (i.e. the factors to be used) can be agreed. Over the next few weeks the LA expects to gain a greater degree of certainty over next year's DSG position as October census information and hopefully a high needs funding update will be available. This will enable the LA to model the impact of funding changes for consideration by SAPH (21st November) and SASH (7th November) prior to Schools Forum receiving firm recommendations in January.
- 7.8 Whilst the DSG funding rates per pupil will not increase next year the LA will expect to receive funding for an estimated additional 314 pupils (October 2012 to October 2013) of approximately £1.288m although this will need to be passed on to growing primary schools at an average funding rate of £3,400 per pupil and an overall cost of £1.068m. As explained in section 4 above, some funding will also need to be top sliced and centrally retained to fund planned expansions in September 2014.

Increased Secondary Delegations

- 7.9 As explained to SASH and previously to the Schools Forum, schools must commission and pay the top up fees for any provision for non excluded / non

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statemented pupils. At present schools lose pupil based funding whilst the LA pays the top ups for emotionally vulnerable pupils attending Riverside. From 2014/15 this funding of £398,900 will be delegated to secondary schools and SASH were asked how they wished funding to be distributed. The LA suggested two options – via BPPE @ £39 per pupil or via Low Prior Attainment at £159 per pupil. SASH requested BPPE.

Schools Forum is asked to support the increased delegation of £398,900 via a secondary BPPE enhancement of £39 per pupil to 2014/15 funding rates so that schools have sufficient funding to pay top up fees for emotionally vulnerable pupils.

Increased Primary Delegations

- 7.10 Unless the LA can secure EFA approval to treat provision at the Nylands PRU, Nylands Assessment class and Mountford Manor SRP's as "Commissioned SEN services" it will be necessary for the LA to delegate funding to primary schools who will then have to pay top up fees whilst their pupils attend these settings. The LA suggested two options – via BPPE or via Low Prior Attainment and SAPH requested BPPE. Until it is clear what level of funding needs to be delegated the impact on BPPE's cannot be quantified.

Schools Forum is asked to support the increased delegation of any funding relating to Nylands PRU, Nylands assessment class and Mountford Manor SRP via a primary BPPE enhancement to 2014/15 funding rates so that schools have sufficient funding to pay top up fees for pupils attending these settings.

Benchmarking

The LA can compare Swindon's current mainstream funding allocations against national and regional averages by accessing the DfE website as show in the table below;

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Table 10 – Mainstream Formula Comparisons

Factor	Swindon %	Regional %	National %
Basic Per Pupil Entitlement (BPPE)	78.0%	79.5%	75.7%
Deprivation	9.0%	6.9%	8.2%
Low Prior Attainment (LPA)	2.8%	4.5%	4.2%
English as an Additional Language (EAL)	0.9%	0.3%	0.8%
Lump Sum	6.8%	7.5%	8.6%
NNDR / PFI	2.4%	1.7%	1.7%
Mobility	-	-	0.3%
Looked After Children	-	-	0.1%
Sixth Form	-	0.1%	0.1%
London Fringe	-	-	0.1%
Split Sites / Exceptional Premises	-	0.2%	0.1%
Minimum Funding Guarantee	0.3%	1.2%	1.4%
Savings from capping	-0.3%	-1.8%	-1.0%
	100.0%	100.0%	100.0%

7.11 As there are wide discrepancies in DSG funding levels across the country (Swindon's schools block DSG funding rate of £4,102 per pupil is 9% below the national average of £4,551 per pupil) it is suggested that regional benchmarking is more appropriate as South West LAs are all generally lower funded. Based on table 8 above;

- Areas where Swindon funding is **below** regional averages are;
 - BPPE
 - LPA
 - Lump sum – although this would be expected for a largely urban area with few small primary and secondary schools
 - MFG – which depends on local circumstances and strategies
- Areas where Swindon funding is **above** regional averages are;
 - Deprivation – variances with SW region are to be expected
 - NNDR / PFI – NNDR costs are set nationally whilst PFI costs depend on the individual contracts
 - EAL – variances with SW region are to be expected

7.12 Attached at **Appendix 9** is a detailed summary of regional BPPE, Lump Sum, LPA, and EAL funding together with contextual information regarding the incidence of EAL and FSM pupils. Based on this information;

- **Primary BPPE funding** is below the regional average which supports the decision taken last year in setting 2013/14 funding to allocate a £54.77 temporary increase funded by using £0.9m of the DSG carried forward

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balance. Without this enhancement primary funding would be almost 5% below regional averages – **the LA would suggest there is a strong case for retaining this increase in 2014/15 if affordable (which was strongly supported by SAPH) although this cannot be guaranteed at this stage**

- **Secondary BPPE funding** is very much in line with regional averages and no changes would appear necessary – particularly given that lump sum funding is also very much in line with regional averages
- **Primary LPA funding** at £701.57 per pupil is reasonably close to the regional average of £863.51 and, whilst this factor should be kept under consideration, is not in need of urgent review
- **Secondary LPA funding** at £701.57 is very much lower than the regional average of £2,064.81 strongly indicating that SBC is out of line with regional norms in funding LPA in secondary schools at the same rate as primary schools – **the LA would suggest that there is a strong case for increasing this rate by reducing secondary BPPE funding if, as is likely there is no headroom within the DSG to directly fund an LPA increase (this was supported by SASH who requested modelling to be done on the impact of implementing various higher LPA rates)**
- **Primary EAL funding**, although a higher proportion of Swindon's DSG is allocated to EAL the incidence of primary eligibility (8.8%) is significantly above the regional average (2.9%) as Swindon is actually highest across the region. The majority of SW LAs recognise EAL for the maximum of 3 years and the average funding per pupil of £574 is reasonable compared to the regional average of £638 and no review is proposed
- **Secondary EAL funding**, the incidence of secondary eligibility (2.4%) is significantly above the regional average (0.8%) as Swindon is actually highest across the region. The average funding per pupil of £574 is lower than the regional average of £846 as most LAs provide higher levels of funding in the secondary sector. **The LA will invite SASH's views on whether this factor should be reviewed now (with any corresponding changes restricted to the secondary sector) or kept under consideration for 2015/16 if this remains a locally determined issue.**
- **Deprivation Funding**, although a higher proportion of Swindon's DSG is allocated to Deprivation the incidence of FSM pupils (22%) is above the regional average (18%) and supports this therefore no review is proposed.

7.13 Schools Forum members are reminded that it may be necessary to marginally review all/some funding factor rates depending on the final DSG position but, assuming this is not necessary;

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Schools Forum is asked to review/challenge the LAs benchmarking analysis and, subject to affordability, support;

- a) The retention of the temporary £54.77 primary BPPE increase – enhanced if affordable*
- b) The review of secondary LPA funding – funded via the re-distribution of secondary BPPE funding (subject to the consensus view of SASH) and / or by a direct increase to LPA funding if this is affordable*
- c) The review of secondary EAL funding – subject to the views of SASH with any proposals reported back to the Schools Forum on the basis that corresponding changes are restricted to the secondary sector*

Minimum Funding Guarantee Exemption - Primary BPPE Funding

- 7.14 It appears from the SAPH consultation that a considerable number of primary Headteachers were unaware that there was any risk that the primary BPPE increase of £54.77 per pupil would not be repeated. Whilst the LA still feels that this was a sound decision and, as described above, would wish to repeat it in 2014/15, if other cost pressures are identified which means that the primary BPPE increase cannot be afforded the loss of this one-off enhancement will be perceived as a funding cut by primary schools.
- 7.15 This is a concern to the LA that communications between the Schools Forum and SAPH may need to be revised and that LA officers should perhaps periodically attend SAPH to explain and discuss key funding issues as has previously been offered. The LA believes that Schools Forum reports have accurately described the status of this funding but accepts that letters to Headteachers sent in March 2013 with budget share allocations did not describe the temporary nature of this funding. For clarity the increase in 2013/14 was entirely funded by using approximately 50% of the DSG balance carried forward from 2012/13 and the minute of the 15th January 2013 Schools Forum states “For 2013/14 only (subject to review) the Forum agreed an increase in primary BPPE funding from £2,590 to £2,642 per pupil”. Unless our level of DSG headroom provides scope to make permanent formula changes the primary BPPE increase could not continue for more than 2 years.
- 7.16 Whether the LA and Schools Forum will be able to afford and will ultimately choose to repeat the boost to primary BPPE rates in 2014/15 remains to be seen and it is possible that other factors may need to be considered. To avoid this one off funding being locked in to the MFG calculations the LA will therefore, as a precaution, need to secure EfA approval for this to be exempted from 2014/15 primary sector MFG calculations. **SASH understood this requirement whilst SAPH members were clearly not happy and did not like the proposal. However, if the LA does not seek this precautionary exemption a substantial part of the temporary funding will become locked into the local**

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formula for some (not all) schools for a number of years, thereby reducing flexibility in managing the DSG which will require the capping of gaining schools.

<i>Schools Forum is asked to agree to the LA seeking approval to exclude the one off £54.77 boost to primary funding from the 2014/15 MFG calculation</i>

DfE Formula Review Requirements

- 7.17 After the radical changes to limit the range of funding factors that could be used by LAs in determining mainstream school funding allocations in 2013/14, the scope of the changes required by DfE in 2014/15 are relatively minor although the resulting longer term financial impact on individual settings may not be. Attached as **Appendix 10** is a summary of all the mainstream formula factors which describes whether they are optional or discretionary and includes references to various LA proposals and options which are explained below.
- a) Funding for Deferred Reception Admissions – Mainstream primary settings
- 7.18 Until 2013/14 the DSG funding allocated to LAs in each financial year was based on information arising from the preceding January school census (PLASC) date. Individual funding allocations to schools and academies from the local formula were also based on January PLASC data but under the school funding reform programme, all funding is now based on the preceding October.
- 7.19 It was recognised in the build up to the 2013/14 budget setting process that some primary settings may be detrimentally affected by this. Although children who are due to start school for the first time are offered places in the September, parents of children who are not statutory school age have the right to defer the entry of their child until the term after their 5th birthday. This must however be agreed with the school concerned in advance of their start date. This means that a school may need to reserve a place for a pupil who may not actually be in school on the October PLASC date which means that they will not qualify for any pupil based funding in the following year.
- 7.20 On a national level DfE make a minor adjustment to the DSG for those LAs which experienced deferred entries in the previous year and for 2013/14 SBC received school block DSG for 30 extra pupils. The LA recognises that schools experiencing deferred entries should not be detrimentally affected in terms of their annual funding and from 2014/15 onwards proposes to create a “reception uplift factor” which is allowable under the new school finance regulations. This would provide additional funding in 2014/15 to those settings where their January 2013 reception pupil numbers were higher than their October 2012 reception pupil numbers.

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- 7.21 An estimate of the impact on individual settings is attached at **Appendix 11** to this report and shows that this would allocate extra funding of approximately £102,000 to 18 schools. **Feedback from SASH was that they supported the principle providing that this did not detrimentally affect secondary funding. SAPH was narrowly in favour of the proposal subject to the LA establishing clear criteria. If approved, the LA will review the number of reception age pupils in all primary settings and increased BPPE funding will be delegated allocated if the actual number of pupils in the January 2014 census is higher than the October 2013 census.**

Schools Forum is asked to agree to the establishment of a reception uplift factor whilst calculating 2014/15 school funding allocations

- b) New Optional Sparsity Factor – DfE prescribed maximum eligibility with locally determined fixed or variable values
- 7.22 This is the only new factor that can be used and is aimed at supporting necessary small schools mainly in rural areas. Where a sparsity factor is used up to £100,000 per school can be allocated by effectively top slicing the DSG to provide an extra subsidy to ensure small schools remain financially sustainable. The factor can be a flat annual rate or could taper to provide individual schools with higher funding for fewer pupils in the same way as the LAs previous small schools protection scheme operated.
- 7.23 DfE will predetermine which schools are initially eligible for sparsity funding based on them meeting both of the following criteria although LAs can choose to narrow eligibility or not use this optional factor;
- A) Pupil numbers must be lower than 150 (primary) or 600 (secondary)
- Based on October 2012 pupils this would cover 4 Swindon primary settings - Bishopstone (35 pupils), Colebrook infants (136 pupils), Oliver Tomkins Infants (141 pupils) and South Marston (107 pupils)
 - A further 13 primary settings had between 151 and 200 pupils and would not qualify for any sparsity factor funding
- B) The Average distance from home post codes of pupils in school to their next nearest school must exceed 2 miles “as the crow flies” for primary schools or 3 miles for secondary schools.
- The LAs assessment is that none of the 4 primary settings with fewer than 150 pupils would automatically qualify although it is possible for the LA to seek exemptions to the “as the crow flies” measurement to use road (i.e. safe walking) distances which would allow funding to be allocated to Bishopstone and South Marston.

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- 7.24 LAs can narrow the eligibility criteria by reducing the pupil number threshold and/or increasing the distance criteria but they cannot widen the scope of eligibility above the DfE model described above other than by applying road rather than as the crow flies distances.
- 7.25 When small schools protection was withdrawn DfE's view at that time was that this should, through necessity, prompt small schools to seek opportunities to reduce/share staffing and other operating costs by amalgamating or federating with other schools. Recent experience at Bishopstone suggests that schools may be reluctant to pursue these options preferring to retain their independence even when faced with long term reductions in MFG protection.
- 7.26 To remain sustainable without reducing costs smaller schools will need to be subsidised by other schools and the LAs initial view is that a sparsity factor should be implemented, which would be tapered to provide a lesser subsidy as pupil numbers reached 150. Under the previous local scheme funding was allocated for schools within 3 bands – less than 75 pupils, 76 to 91 pupils and 91 to 140 pupils and annual values ranged from £24,000 to £105,000. Under the new DfE model this would need to be simplified and the LA proposal would be as follows;
- In 2013/14 Bishopstone school is receiving £65,000 of MFG protection funding which the LA would reinstate via a “ghost pupil calculation” which recognised that they have 115 less pupils than the 150 DfE threshold,
 - The sparsity funding for Bishopstone would equate to $\text{£65,000} / 115 = \text{£565}$ per pupil and South Marston with 107 pupils at present would receive $43 \times \text{£565} = \text{£24,295}$.
- 7.27 During consultations both SASH and SAPH supported the proposal.

Schools Forum members are asked to support the creation of a new sparsity factor which provides eligible schools with £565 per pupil below the DfE threshold of 150

c) Sector Lump Sums – Optional factor with a maximum value

- 7.28 The LA can, from 2014/15, choose to have different lump sums for primary and secondary schools up to a maximum annual value of £175,000. Where two schools amalgamate the new school will receive 85% of the total lump sums of the predecessor schools for the next full year.
- 7.29 For 2013/14 Schools Forum members will recall that a lump sum value of £106,700 was determined for Swindon based on a notional estimate of the costs of a Headteacher, bursar and other fixed costs. (The DfE have still not specified the scope of what the lump sum is supposed to cover but now recognise that the fixed costs of primary and secondary schools are different).

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7.30 Under the previous local formula all secondary settings received approximately £250,000 per year whilst primary settings received between different values between £60,000 and £94,000 depending on their pupil numbers. When the single lump sum value was introduced Schools Forum agreed the LAs approach that sector funding totals would be retained i.e. the overall saving to the local formula of reducing secondary lump sum values was recycled as an increase to Basic Per Pupil Entitlement funding.

7.31 For 2014/15 the LAs view is that ;

- The existing lump sum value of £106,700 should be retained and applied to all primary settings – **this view was supported by SAPH**
- The lump sum value for secondary schools should be increased from £106,700 to the maximum £175,000 allowed but that the additional cost to the local formula of this, estimated at £683,000 is met by reducing the secondary BPPE rates accordingly by approximately 1.7% – **this view was supported by SASH as it would provide a marginally higher level of funding stability.**

Schools Forum members are asked to agree that;

a) The primary sector lump sum is retained at £106,700

b) The secondary sector lump sum is increased to £175,000 with corresponding reductions to secondary BPPE rates.

- d) Looked After Children Factor – Optional factor, DfE prescribed eligibility with locally determined single value

7.32 The LA did not establish this as an optional factor in 2013/14 on the basis that the Pupil Premium already generated additional funding (currently £900) for these pupils. If such a factor were to be introduced next year, funding must be allocated for any child who was in care for at least one day during the period specified by DfE which for 2014/15 funding is as at 31st March 2013 (based on the LAs SSDA903 return mapped to schools using the January school census). Approximately 116 Swindon pupils would be eligible for this funding.

7.33 Whilst it is important to note that the number of LAC pupils is relatively small, attainment for pupils at both KS2 and 4 is well below that for non – LAC pupils. Attainment and progress has shown some improvement over 3 years at KS4 but both have declined at KS2 during the same period. To further support improving outcomes for this particularly vulnerable group of students it is the LA's view is that an optional factor for LAC should be introduced in 2014/15 at a value of £400 per pupil. Based on current eligible LAC students this would cost approximately £46,400 per year

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7.34 Whilst DfE have announced that the primary deprivation pupil premium rate will increase to £1,300 next year they have not confirmed the secondary rate or whether the Looked After Children rate will increase from its current level of £900. The LAs initial view is that an optional factor for LAC should be used in 2014/15, subject to affordability, at £400 per LAC. Feedback at consultation events was as follows;

- **SASH requested a full evaluation from the LA on the impact of the LACES team (which is being funded by the secondary sector Pupil Premium) before any local LAC funding factor could be considered as the impact/value of the current arrangement was unproven**
- **SAPH were generally supportive of this subject to receiving clarification on whether other LA pupils would be eligible. If introduced, the LA would seek to delegate funding to all LAC pupils based on the previous October PLASC in line with other school funding.**

Schools Forum members are asked to support the proposal to create a Looked After Children factor at a nominal value of £1 (so that it can be included in our initial EFA submission) but that a decision is deferred pending further consideration by SAPH and SASH.

e) Optional Split Site Factor

7.35 The LA does not intend to introduce a split site factor as this was debated and dismissed during the last consultation. If such a factor were to be introduced eligibility criteria and a funding methodology would need to be devised and the LA's view is that there are a number of differences which affect school premises costs which are not recognised in the funding formula e.g. PFI schools tend to pay higher repair costs, some schools have to rent sports facilities, some are of lesser quality build and insulation standards. Swindon Academy feels strongly that they are penalised by only qualifying for one lump sum when they actually operate over 2 separate sites.

7.36 Feedback from the consultation events was as follows;

- **The Academy presented the principles of their case to SASH which was met with a mixed response. SASH agreed the LA proposal that a costed business case should be prepared setting out what additional annual costs the Academy felt were being incurred as a direct consequence of having to operate across split sites which would be circulated for consideration by SASH. If supported by SASH this would then come to the Schools Forum for wider consideration**

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- **SAPH were advised of the situation and were unanimously unsupportive of this feeling strongly that any business case should be made to them as well as SASH given that the Academy has both primary and secondary pupils.**

- 7.37 Whilst the LA remains unconvinced that this factor should be created it may be relevant to bear in mind that unlike converter academies the majority of Swindon Academy's funding operates outside Swindon's DSG. Their primary sector funding is directly determined by the local formula and the value of their delegated budget is recouped from our DSG. The secondary sector element operates via what DfE term "replication" which means that whilst the EFA calculate funding based on our local formula the actual cash is never included in Swindon's DSG. In practise this means that if the LA created a split site funding factor of say 50% of a secondary lump sum (£87,500) this would not directly affect any Swindon school or Academy as the cost would not be met from our DSG.
- 7.38 Despite having no cost implications the LAs reluctance to agree this factor is that there are strong indications that all Academy funding, including original sponsored academies, may move to become within the LAs DSG at some time in the future, most probably when DfE introduce a national formula which could be as early as 2015/16. As well as becoming a real cost to Swindon's DSG the implications of creating a precedent of split site funding and the requirement to establish criteria need to be carefully considered. The LA would suggest therefore that if both SASH and SAPH approve the Academy's business case the LA would only seek Schools Forum agreement to implement any funding on the basis that it is annually reviewed to ensure it did not have any direct implications for Swindon schools or Converter Academies.

Schools Forum members are asked to note the issues relating to split site funding and to defer any decision until SASH and SAPH have reviewed the matter in November.
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- f) Low Prior Attainment Factor – Optional factor, DfE prescribed eligibility with locally determined single or sector values
- 7.39 The LA is using this optional factor in 2013/14 and currently allocates £701.57 per eligible pupil. LPA forms part of the notional SEN budget and whilst DfE acknowledge that there is no perfect way to identify low cost SEN prior attainment provides a reasonable proxy if used alongside other factors such as deprivation. For 2014/15, eligibility for primary age pupils in years 2 to 5 will be based on the existing EYSFP Early Years Foundation Stage Profile (i.e. those pupils achieving fewer than 78 points. Eligibility for the cohort of pupils moving into KS1 will qualify where they have not achieving the expected level of development in all 12 prime areas of learning as well as maths and literacy. The

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impact of the change in assessment will therefore be gradually phased in over the next few years.

- 7.40 Based on the benchmarking analysis the LA was not proposing to increase the primary funding rate for 2014/15. **SAPH members were very concerned that eligibility levels for LPA funding would be much higher under the new methodology and potentially have significant cost implications which the LA acknowledges may be the case over the medium term but will not present a significant cost pressure in 2014/15.**
- 7.41 The main change for 2014/15 is that for secondary age pupils, eligibility must be extended to include those pupils which at Key Stage 2 did not achieve level 4 in English or Maths whereas currently eligibility is only based on pupils who did not achieve level 4 in both subjects. DfE estimate that this will widen eligibility from 10% of pupils to 21% at a national level whilst the LA has calculated that locally the increase will be from 10% to 25%. From 2013 the DfE will not be calculating an overall level for English but outcomes for grammar, punctuation, spelling, and reading will be reported separately. Initial estimates are that an additional 1,462 pupils will become eligible for this funding at an annual additional cost at current rates (£701.57) of £1,025,695
- 7.42 The LA's view is that this factor should be retained in 2014/15 and in fact, based on regional benchmarking, there is a strong case to enhance current levels of funding up from current rates although based on the increased eligibility an LPA rate of say £1,500 would cost an additional £3m. As mentioned above SASH have asked for modelling to be undertaken on various options to increase LPA funding matched by corresponding secondary BPPE rates unless additional funding can be afforded within the overall DSG. .

Schools Forum members are asked to note the increased eligibility for secondary sector pupils, confirm the retention of Low Prior Attainment as a funding factor and note the SASH request for modelling to be undertaken.

g) Factors currently in use – no changes proposed for 2014/15

- 7.43 In the interests of maintaining a degree of stability the LA is not proposing to make any changes to the following existing factors and this is **supported by both SAPH and SASH**
- **Deprivation** – both IDACI and FSM to be retained – benchmarking supports existing funding levels are appropriate
 - **NNDR** – to be retained such that each setting receives funding to match their estimated annual charge subject to annual review
 - **PFI Affordability Gap Funding** – to be retained as the DSG contribution towards overall PFI affordability was committed when the contract to

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procure the 7 schools was agreed. At present a pupil based share of the affordability gap funding is delegated to the seven PFI schools to exactly match their share of costs. Based on a suggestion at SASH the LA will, if allowed by EFA, seek to simplify the arrangement by reducing delegated budgets and creating a central provision. An update on this will be presented to the next Schools Forum.

Schools Forum members are asked to agree that Deprivation and NNDR funding remains unchanged and that the LA will seek to centralise PFI Affordability gap funding if this is allowed.

h) Factors not in use and not proposed for introduction in 2014/15

7.44 In the interests of maintaining a degree of stability the LA is not proposing to introduce any of the following optional factors and this is supported by both SAPH and SASH;

- **Pupil Mobility** – this is not currently a significant issue for Swindon
- **Temporary Falling Rolls Fund** – sections 3.44 to 3.47 of the 9th July Forum report describe the prescribed circumstances and eligibility criteria that would be required in order for the LA to top slice DSG to protect certain schools via this new option. Funding can only be paid to good or outstanding schools where there is clear evidence that a schools population is most likely to increase in 2 or 3 years. These criteria would not apply for 2014/15 - ***some members of SASH were keen to have this reviewed in future years.***
- **Exceptional Premises Factors** – sections 3.51 to 3.52 of the 9th July Forum report describe the types of costs that could be recognised for exceptional premises funding and the most relevant item for Swindon is likely to be where schools do not have their own sports facilities. For 2014/15 the level of costs incurred are highly unlikely to be significant enough to meet the criteria for funding to be considered.

Schools Forum members are asked to agree that pupil mobility, temporary falling rolls and exceptional premises factors will not be used in 2014/15 but will be kept under annual review

8. Alternative Options

8.1 The LA has a statutory duty to manage and distribute the Dedicated Schools Grant (DSG) in accordance with prevailing grant conditions and the 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 options available

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are described throughout this report and will be included in consultations with all schools.

- 8.2 The LAs final proposals relating to 2014/15 will be presented to the Schools Forum in January 2014 and March 2014 and will need to be validated by the Education Funding agency to ensure they are in compliance with the new regulations.

9. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 9.1 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 early year's settings, schools, sixth forms, colleges and other providers cannot be determined although schools are protected by the Minimum Funding Guarantee which for 2014/15 prevents annual losses of more than 1.5% per pupil.
- 9.2 It is important to recognise that no setting is currently financially protected against reduced pupils or students although from 2014/15 the LA has an option to protect good and outstanding schools and academies from temporary falling rolls.

Legal and Human Rights Implications

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

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

- 9.4 Although the impact on individual settings cannot be determined at this stage the school funding reform programme is causing a degree of volatility in school finance which may have implications for schools and other providers which are detrimentally affected by the redistribution of funding. As reported elsewhere on today's agenda, cuts in post 16 high needs funding is directly affecting Further Education providers in 2013/14 and whilst schools will benefit from MFG protection in future years the actual level of protection beyond 2014/15 is subject to the national Comprehensive Spending Review and may well be lower than the current 1.5% per pupil.

Links to One Swindon, Strategic Objectives, Plans and Policies

- 9.5 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".

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Diversity Impact Assessment

- 9.6 The DfE's school funding reform programme is aimed at simplifying fair funding and although funding changes at individual settings are inevitable the DfE believes that the MFG protection scheme for schools will be sufficient to minimise any adverse impacts. 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

- 9.7 The key risks arising from this report are that local decisions relating to school funding could lead to an overspend on the 2014/15 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.

10. Consultees

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

11. Background Papers

- 11.1 Various documents issued by the Department for Education on 4th June 2013 announcing the 2014/15 school funding reform changes and in particular the agenda papers provided to the 9th July Schools Forum

12. Appendices

- 12.1 The following appendices are attached:
- Appendix 1 – Estimated 2013/14 and 2014/15 DSG
 - Appendix 2 – Estimated trigger funding and pre start-up funding 2014/15
 - Appendix 3 - summary of existing and proposed 2014/15 retained high needs budgets
 - Appendix 4 – Report to the 5th September Specialist Setting High Needs Task Group
 - Appendix 5 - Indicative Specialist Setting High Need Top Up Values 2014/15
 - Appendix 6 - mainstream funding factors and values used to determine 2013/14 delegated budgets
 - Appendix 7 – Pie chart showing current distribution of primary funding
 - Appendix 8 – Pie chart showing current distribution of secondary funding
 - Appendix 9 – Mainstream Funding Benchmarking
 - Appendix 10 – Summary of Mainstream Factors Available
 - Appendix 11 - Indicative impact of funding deferred primary school admissions

Estimated DSG 2013/14 – 2014/15

2013/14

- **Schools block** – 27,408 pupils @ £4,102.23 = £112.433m
- **Early years block** – 2,044 pupils @ £3,888.06 = £7.947m
- **Disadvantaged 2 year olds** – 503 (20%) @ £4.97 plus £0.560m for trajectory building = £1.985m
- **High needs block** - £22.551m
- **Extra EYRS (90%)** - £0.286m
- **Extra post 16 HN** - £0.350m
- **Total DSG - £145.554m**

2014/15

- **Schools block** – 27,722 pupils @ £4,102.23 = £113.722m
(Extra £1.288m)
- **Early years block** – 2,055 pupils @ £3,888.06 = £7.989m
(Extra £0.043m)
- **Disadvantaged 2 year olds** – 924 (40%) @ £4.97 = £2.618m
(Increase of £0.633m)
- **High needs block** - £22.551m?
- **£0**
- **£0**
- **Total DSG - £146.880m**

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Pupil Growth Funding Calculation for Planned expansion in 2014/15

Trigger Funding Payable to Primary Schools	Sep-13	Sep-14 (Estimated)	Total Estimated Pupil Number Increase	BPPE Rate @ £2,644.65	Trigger Funding for planned expansions
Drove	571	599	28	£ 2,644.65	£43,196
East Wichel	221	253	32	£ 2,644.65	£49,367
Even Swindon	462	496	34	£ 2,644.65	£52,452
Haydonleigh	445	486	41	£ 2,644.65	£63,251
Orchid Vale	296	327	31	£ 2,644.65	£47,824
St Francis	396	416	20	£ 2,644.65	£30,854
Croft	95	151	56	£ 2,644.65	£86,392
Tadpole Lane Primary	0	60	60	£ 2,644.65	£92,563
Town Centre St Jo's site	0	30	30	£ 2,644.65	£46,281
Total	2,391	2,577	332		£512,181

£100,000
£50,000
£150,000

Start up Funding- (New schools opening 2014)

Tadpole Lane Primary
Town Centre St Jo's site

£662,181

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Retained High Needs Budgets- Pre 16	2013-14	2014-15	Change	Notes
Saltway Portage Service	£149,100	£151,700	£2,600	
Education Support Services Monitoring	£10,000	£10,000	£0	
Statemented Pupils Equipment	£130,000	£130,000	£0	
Speech, Language and Occupational Therapy	£100,000	£100,000	£0	
Travellers Children Support	£5,000	£5,000	£0	
SEN Resource Allocation Panel (SENRAP) Mainstream settings	£1,372,000	£1,372,000	£0	
SEN Resource Allocation Panel (SENRAP) Early years settings	£80,000	£150,000	£70,000	1
External Placements (Pre 16) - OLA special schools and sixth forms	£255,000	£255,000	£0	
External Placements (Pre 16) - NMSS @ Independent Schools	£1,646,156	£1,205,839	-£440,317	2
High Needs Contingency				
Mainstream Settings	£100,000	£99,268	-£732	3
Specialist SBC Settings (SRP/ Special Schools)	£178,000	£585,774	£407,774	4
External Placements	£240,148	£342,843	£102,695	5
		£1,027,885		
Notional SEN additional allocations	£256,750	£256,750	£0	
The Oakfield Project	£46,000	£0	-£46,000	6
Tuition Service - gross spend ignoring exclusions and other income	£903,000	£909,800	£6,800	
School Exclusions funding recovered	-£163,000	-163,000	£0	
Dual registered placements funding recovered	-£73,500	-73,500	£0	
Total Pre 16 High Needs Budgets	£5,234,654	£5,337,474	£102,820	

Explanatory Notes and assumptions supporting the pre 16 High Need 2014/15 retained budget proposals

1. Increased costs have been experienced this year following the harmonisation of early years SEN funding between schools and PVI settings. Next years budget also reflects increased take up of disadvantaged 2 year old nursery provision.
2. Estimates assume 21 FTE placements at an average cost of £54,945. Since last years budget was set a number of placements have broken down resulting in additional internal placements at SBC special schools. Some pupils have progressed to become within the post 16 budget.
3. The contingency budget for mainstream settings is based upon an additional 26 packages being agreed during 2014-15 with funding at the current average cost of a mainstream top up - £3,818
4. The contingency budget is made up of provision for an additional 12.92 FTE at an average cost of £21,573 at Special schools and an additional 10.67 FTE at an average cost of £28,793 at SRP's over and above planned numbers.
5. The contingency budget is made up of provision for 6 additional placements at an average FTE cost of £57,140 which are expected to be placed in external specialist settings above planned numbers.
6. Those schools which place pupils at the Oakfield Project will be required to absorb the full costs of the service without any central DSG subsidy - deleting this budget effectively allows a minor increase to secondary BPPE values to be implemented in 2014/15.

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Report to High Needs Place Plus Review Project Task Group
From Steve Haley (Head of Finance – Education)
Gill Illic (Education Commissioner)
Date 5th September for distribution prior to 17th Sept task group meeting
Subject Place Plus “Top Up” Funding for Specialist Settings 2014/15

1) Introduction

Following discussions at the 12th July 2013 Task Group about the principles on which specialist setting funding should be based, the LA has determined a new draft framework for 2014/15 Top Ups values which is described below.

It is acknowledged that few issues were unanimously supported by all members of the task group and whilst the proposals in this report are not set in stone (and will be reviewed at the next task group meeting and subsequently by the Schools Forum) it is inevitable that a degree of compromise will be required. Under the school finance regulations the LA must consult with stakeholders over key issues but the decision on things like top up values remains with the Director of Children Services.

After establishing a framework we can begin to work on the proposed top up values which are described below and then, after reviewing demand for planned places, project 2014/15 funding allocations for each setting. As explained at the last Task Group meeting there is little prospect of any additional DSG coming into Swindon next year and we need to assume that the overall SEN funding pot will remain the same for pre 16 pupils (regardless of demand) and that post 16 funding will reduce by 20% (regardless of demand).

It is inevitable that for any setting to receive an increase in funding another setting will have to manage with reduced funding and the sooner we set the new funding rates the sooner we can assess the implications for individual special schools and SRPs. It is most possible that in some settings the current level of provision will simply be unaffordable and the task group will need to identify where, when and how any reductions can best be implemented in the most fair and consistent manner for the benefit of all high need pupils and students.

In summary, the LA must introduce a fair system of funding with increasing demand and, in real terms, with reducing resources – the inherent difficulty of achieving this must be acknowledged by all members of the task group.

2) Framework for a Universal Banding and Funding System

The following principles will be used to determine the new funding framework;

1. All pupils in SBC specialist settings will be banded via the new 6 bands. Special Schools and SRPs will be funded at the same levels per pupil where bandings are the same. Funding per pupil will vary as follows;

Pupil Needs

2. Pupils with different prime needs will attract different levels of funding although to simplify things 4 separate band values are proposed.
3. Existing Therapy supplements (which are currently payable to 2 special schools and 8 SRPs) will be absorbed into the new top up values and will not be separately shown.

4. Pupils with secondary and possibly tertiary needs will not automatically attract enhanced funding but bespoke levels of funding can be provided in certain circumstances. The new banding and funding system will cover the vast majority of pupils but bespoke values will be negotiated between the setting and commissioners where the complex needs of individual pupils are not adequately covered by the bands.

Enhancements

5. Supplementary funding over and above basic band values will be paid in respect of eligible pupils in SRP's to recognise the differing context between SRPs and Special Schools as follows
- Medical needs
 - Manual handling
 - Teaching requires British Sign language

Age adjustments

6. Funding will be marginally higher for secondary age pupils in line with the long standing position on mainstream funding which provides higher funding at KS3/4 to recognise the increasing specialisation of teaching requirements arising from the national curriculum and costs associated with exams. (Although some pupils bandings increased as they transitioned from primary to secondary education this is not always the case)
7. Funding will be lower than secondary levels for post 16 sixth form pupils due to lower levels of DSG funding being received and to recognise that students may not require 25 hours teaching per week.
8. Early year's pupil funding will be the same as primary age funding but scaled down pro rata to hours in school.

3) Determining values for the new system

Step 1 – Determine overall specialist setting funding available in 2014/15

For 2013/14 when the new High Needs DSG block was introduced we were able to secure an additional £228,000 for high needs growth in places but for 2014/15 the indications are that funding will be frozen at current levels so for planning purposes we must work within the existing budget of **£15.477m** which is summarised as follows;

<u>Table 1 – 2013/14 Funding</u>	No of FTE places	Place / Fixed	Top up	PFI	Total
Special Schools – Annex A	470.4	£4,704,167	£5,248,791	£264,379	£10,217,337
SRP's – Annex B	168.0	£1,680,000	£2,354,947		£4,034,947
SEN Outreach & Commissioned services – Annex C		£1,224,985			£1,224,985
	638.4	£7,609,152	£7,603,738	£264,379	£15,477,269

It is relevant to note that the existing funding reflects some increased places from September 2013 which attracted only part year (7/12) funding in 2013/14 – even without any further increases in places, an additional (5/12) cost will be incurred whilst the overall high need budget will remain unchanged.

Furthermore the Schools Forum in July agreed the LA proposal to pay double top ups to provide pump priming funding to new SRPs (initially the Ridgeway ASC Unit at a full year additional cost of £95,842) and additional funding of £18,000 for the Ridgeway HI unit. The new HI BSL provision at Isambard will also benefit from double top ups in 2014/15 and 2015/16.

The White Horse Federation have requested an annual increase of £12,698 above current levels for the behaviour support service they provide from Nylands as they feel that their funding does not fully cover leadership and central service costs. A decision on this will need to be taken as part of the task group's review.

All of the above cost pressures will need to be absorbed from the existing budget (i.e. by reducing top up values) unless either early years or mainstream funding is reduced (highly unlikely to be agreed) or additional DSG is (unexpectedly) secured.

The LA will benchmark its high need spending levels with statistically similar LAs to establish whether current spending is above / below comparator LAs.

Step 2 – Determine the level of funding required to secure places in 2014/15

For specialist settings the place element of funding is fixed by DfE at £10,000 per year and this will be payable based on planned place numbers. LA Commissioners will therefore need to agree estimated places from April 2014 and September 2014 at each specialist setting – this will determine how much high needs funding will need to be set aside for places and will reduce the overall value available for top ups. (Place numbers in subsequent years will be used as part of the LA's 2014/17 capital planning process)

Places in each setting are estimated as follows;

<u>Table 2) Current and Planned Special School Places</u>									
Setting	2013/14 Funded Places		Latest Sep-13	2014/15 Funded Places		2015/16 Funded Places		2016/17 Funded Places	
	Apr-13	Sep-13		Apr-14	Sep-14	Apr-15	Sep-15	Apr-16	Sep-16
St Lukes	68	68	68	68	68				
Brimble Hill	67	65	62.5	67	67				
The Chalet	48	55	55	55	55				
Crowdy's Hill	128	128	133	133	133				
Uplands	114	128	138	138	138				
Nylands	32	36	32	36	36				
Total Special Schools	457	480	488.5	497	497				
Full Year Equivalent	470.4			497					

Table 3) Current and Planned SRP Places									
Setting	2013/14 Funded Places		Latest	2014/15 Funded Places		2015/16 Funded Places		2016/17 Funded Places	
	Apr-13	Sep-13	Sep-13	Apr-14	Sep-14	Apr-15	Sep-15	Apr-15	Sep-15
Redoaks - HI BSL	13	13	12	13	13				
Ridgeway - HI	4	4	3	3	3				
Redoaks - LDD	6	6	6	6	6				
Ridgeway - ASD	0	4	4	4	8				
Lydiard Academy – ASD	11	15	15	15	15				
Ruskin Junior - ASD	10	9	6	9	9				
Kingsdown - ASD	14	16	16	15	15				
Robert Le Kyng - PD	8	10	10	10	10				
Westlea - PD	9	10	6	6	6				
Commonweal - PD	18	20	18	17	17				
Eldene - CLD	9	8	9	9	9				
Millbrook - CLD	9	8	8	8	8				
Even Swindon - SSL	15	15	15	15	15				
Commonweal - SPLD	29	29	29	29	29				
Mountford Manor – BESD	6	6	6	6	6				
Isambard – HI BSL	-	-	-	-	1				
Total SRP's	161	173	163	165	170				
Full Year Equivalent	168.0			167.9					

Unless all settings agree that they will not require further place funding for any pupils above their planned places, Commissioners will need to set aside a contingency for further place funding which will further reduce the overall value available for top ups.

Mountford Manor SRP does not operate in the same way as other specialist resource provision. Pupils are not required to have a statement of educational needs prior to admission and are admitted on a 3/2 day shared placement with their host mainstream school. The provision is part of a graduated response which aims to support pupils to remain at, and return to their fulltime mainstream placements. For some pupils, the graduated response would lead to a placement at the Nyland Special School Assessment Class or the Nyland Special School. The EFA have advised that this model of operation is akin to Alternative Provision (AP) and recommend that the SRP be “re-classified” as such. As Mountford Manor is an academy the LA is unable to re-classify

the provision (only the academy can do this) but we are able to commission places at the same rate of funding as other AP

This has operational and financial implications as, under the school funding reform programme, where individual schools make short term or part time placements, they are the commissioner and must pay the top up fees directly to the provider. The LA would still need to annually agree and fund places but would need to delegate the existing top up budget across schools via the local formula. Administering the collection of charges would be the responsibility of the provider. Similar arrangements would also need to be put in place for the Nylands assessment class until such time as pupils were statemented and actually placed in a special school.

To minimise bureaucracy and financial requirements the LA will seek EFA approval to treat Mountford Manor and the Nylands PRU / assessment class as “High Need Commissioned Services” which would be subject to annually reviewed SLAs with the LA clawing back proportionate pupil based funding from the schools placing pupils at these settings.

The LA believes that an SRP requires at least 6 places to remain viable and would suggest any provision with less than this number should be treated as a commissioned service.

Step 3 – Determine the level of funding for outreach and commissioned services

Funding for these services needs to be reviewed in order to ascertain the value available for top ups. Indicative values for 2014/15 are proposed which reflect part year funding (April 2014 to August 2014) for the Isambard HI BSL as agreed by Schools Forum in January 2013. All services include a modest 1% inflationary increase as follows;

<u>Table 4 – Current and Proposed funding for High Need Outreach and Commissioned Services</u>		
<u>Existing Services</u>	2013/14	2014/15
Nylands - Primary Behaviour Support Team (note 1)	£220,400	£222,600
Uplands - Education Support Service	£225,100	£227,400
Even Swindon - Speech and Language	£22,200	£22,400
Ruskin Junior - ASD	£87,000	£87,900
Ridgeway - Education Audiologist	£11,100	£11,200
Redoaks HI Support Service	£239,700	£242,100
Commonweal PD Support Service	£64,100	£64,700
Millbrook SLD Support Service	£66,900	£67,600
Ruskin Junior ASC Support Service	£135,800	£137,200
Isambard BSL Provision	£50,000	£27,400
Nylands CAMHS = outreach service for emotionally vulnerable pupils	£102,685	£103,700
Plus – Mountford Manor (if allowed by EFA)	?	?
Plus – Nylands PRU (if allowed by EFA)	?	?
Plus – Ridgeway HI (if allowed by EFA)	?	?
Totals	£1,224,985	£1,214,200

(Note 1 – Further £12.698 requested)

All the above services will need to be subject to annually reviewed Service Level Agreements to ensure funding meets need and represents value for money.

Step 4 – Determine contingency requirements

In managing the overall high needs budget the LA will need to agree planned places in all specialist settings both within and outside the Borough and also establish a contingency budget to meet the costs of additional placements. Initial estimates are that approximately 15 additional pupils will require placements from April 2014, rising up to 36 from September 2014. Further work is being undertaken to estimate demand by type of need and probable placement type and resulting part/full year costs. .

Step 5 – Determine the top up values

In order to provide a new fair funding model, values will need to be set which broadly equate to the cost of provision but this cannot be an exact match. The funding system will need to provide an overall funding allocation which each setting will then use to set appropriate staffing levels and budgets to meet curriculum and running costs.

a) Basic Band Values

The key requirement is to establish band values which provide a level of funding which broadly equates to the cost of meeting needs – with appropriate stepped increases in value as the type and cost of meeting needs increases. Proposed funding values for 2014/15 are attached at **Appendix 1**. These are indicative only and may need to be increased or decreased depending on the quantum of high needs funding available.

The proposed band values are aimed at being a line of best fit between the differing systems used at present to fund special schools and SRPs. The 4 band values are proposed for primary aged pupils prior to any supplementary funding;

b) Supplementary Funding – SRPs only

The following annual funding values will be paid over and above the relevant band values to recognise the differing context between SRPs and Special Schools;

a. Medical needs	£1,500)	
b. Manual handling	£1,500)	per pupil
c. Teaching requires British Sign language	£15,000)	

c) Age Adjustments

The above band values are proposed primary sector values with;

- secondary age pupils attracting an approximate 5% supplement – subject to affordability. It may be that the values shown in Appendix 1 become secondary sector rates with a 5% reduction for primary sector settings
- early years nursery pupils attracting the same value but at 0.6FTE
- post 16 pupils attracting the secondary 5% supplement but prorated down by up to 60% to reflect agreed teaching hours.

4) Implementing the new system

As was discussed and agreed at the first task group meeting implementation of the new system could be delayed by the Minimum Funding Guarantee (MFG) system which limits any setting from losing more than 1.5% of funding per pupil per year. With a DSG cash freeze, the costs of MFG must be met by capping gains in other settings and it could therefore take a number of years to implement any new funding increases.

In line with a recent ASSSH decision whereby a BESD premium was phased out over 3 years, the LA will seek DfE exemption to waive MFG, so that any new top up rates can also be fully implemented within 3 years. This should provide time for those settings which are detrimentally affected by funding reductions to reduce their staffing and other operating costs accordingly without incurring redundancy costs.

The role of the task group in reviewing current staffing structures and levels of spending in these settings to help them identify cost reductions will be invaluable. As agreed at the last task group meeting a selection of Special School and SRP representatives will be asked to present their current budget plans to the group to prompt discussions about staffing levels, leadership and management costs, operating costs etc. with a view to helping to ensure future funding and service provision is, as far as possible, consistent across all settings so that pupils with similar needs receive similar levels of education and that settings receive similar levels of funding.

It is important to recognise that whilst the LA can implement a new funding system it is not possible to ensure the full SRP funding is actually passed on by the school governing body. In circumstances where a high needs pupil is partially educated in a mainstream class room it would not be unreasonable for an element of SRP funding to be retained to offset mainstream costs. The LA would however advocate that all SRP funding is allocated within the school budget to meet the direct additional incurred by the school in operating the SRP.

5) Alternative Provision

The school funding reform programme requires AP settings to be funded via “place plus” although place funding is set by DfE at £8,000 per pupil with LAs to set locally determined top up rates. For 2013/14 rates have been set as follows;

- Stratton Pupil Referral Unit - £9,750 per pupil
- Riverside (Vulnerable and anxious pupils) - £9,500 per pupil
- Nylands Pupil Referral Unit – TBC as place funding exceeds last year’s funding

Although the above rates should provide sufficient overall funding to cover costs of provision and comply with DfE requirements the LA intends to introduce a more needs based system which recognises that different levels of funding may be required more in line with the banding SEN banding system.

Further work will be done to model this with a view to any changes being introduced from 2015/16.

Annex A - Summary of Special School Funding 2013/14

Table 13 - Projected 2013/14 Special School Funding - Excluding Pupil Premium					
2012/13 Funding	Setting	2013/14 Indicative Funding			
		Place @ £10,000	Top Up @ Band Values	PFI @ Actual Cost	Total Funding
£1,663,914	St Lukes	£680,000	£1,020,365		£1,700,365
£1,629,931	Brimble Hill	£658,333	£757,203	£96,470	£1,512,006
£892,289	The Chalet	£520,833	£489,701		£1,010,534
£2,287,121	Crowdy's Hill	£1,280,000	£1,046,238		£2,326,238
£2,485,489	Uplands	£1,221,667	£1,557,691	£167,909	£2,947,266
£892,893	Nylands	£343,333	£555,493		£898,826
£9,851,637	Totals	£4,704,167	£5,426,691	£264,379	£10,395,237

Net SBC budget requirement excluding OLA income of £177,900 = **£10,217,337**

Annex B - Summary of SRP Funding 2013/14

Table 16 - Projected 2013/14 SRP Place Funding				
2012/13 Funding	Setting	2013/14 Indicative Funding		
		Place @ £10,000	Top Up Values	Total Funding
£520,034	Redoaks - HI SL	£130,000	£408,850	£538,850
£105,174	Ridgeway - HI	£40,000	£34,280	£74,280
£169,357	Redoaks – LDD	£60,000	£96,638	£156,638
	Ridgeway – ASD	£23,333	£43,283	£66,617
£327,058	Lydiard Academy – ASD	£133,333	£228,626	£361,959
£246,333	Ruskin Junior - ASD	£94,167	£175,525	£269,692
£356,143	Kingsdown – ASD	£151,667	£272,117	£423,783
£240,963	Robert Le Kyng – PD	£91,667	£148,042	£239,708
£227,644	Westlea – PD	£95,833	£113,396	£209,229
£324,949	Commonweal – PD	£191,667	£206,208	£397,875
£178,621	Eldene – CLD	£84,167	£116,418	£200,585
£164,038	Millbrook – CLD	£84,167	£127,534	£211,701
£266,305	Even Swindon - SSL	£150,000	£140,800	£290,800
£414,200	Commonweal – SPLD	£290,000	£208,220	£498,220
£120,018	Mountford Manor - BESD	£60,000	£58,510	£118,510
£3,660,837	Total SRP's	£1,680,000	£2,378,447	£4,058,447

Net SBC budget requirement excluding OLA income of £23,500 = **£4,034,947**

Annex C - Summary of SEN Outreach Commissioned Services funding 2013/14

<u>SEN outreach and Support Services</u>	£
Nylands - Primary Behaviour Support Team (note 1)	£220,400
Uplands - Education Support Service	£225,100
Even Swindon - Speech and Language	£22,200
Ruskin Junior - ASD	£87,000
Ridgeway - Education Audiologist	£11,100
Redoaks HI Support Service	£239,700
Commonweal PD Support Service	£64,100
Millbrook SLD Support Service	£66,900
Ruskin Junior ASC Support Service	£135,800
Issambard BSL Provision	£50,000
Nylands CAMHS = outreach service for emotionally vulnerable pupils	£102,685
Total 2013/14 Funding	£1,224,985

No OLA contributions SBC budget requirement = **£1,224,985**

Note 1 – White Horse Federation have requested £232,698 in the current year for this service which represents an increase of £12,698

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Approximate Band Values in addition to £10k	
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Typical banding range		
Special School	Both	SRP

Band 1	Band 2	Band 3	Band 4	Band 5	Band 6
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£21,000	£20,000	£19,000	£17,000	£13,000	£10,000
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£15,000	£13,000	£10,000			
	£13,000	£10,000	£8,000		
				£4,000	£2,000
		£8,000	£6,000	£4,000	£2,000

£15,000	£13,000	£10,000	£8,000	£6,000	£4,000
£15,000	£13,000	£10,000	£8,000		
£15,000	£13,000	£10,000	£8,000	£6,000	£4,000
£15,000	£13,000	£10,000	£8,000	£6,000	£4,000

£1,500	£1,500	£1,500	£1,500	£1,500	£1,500
£1,500	£1,500	£1,500	£1,500	£1,500	£1,500
£15,000	£15,000	£15,000	£15,000	£15,000	£15,000
£7,000	£7,000	£7,000	£7,000	£7,000	£7,000

NB - Early Years pupils will attract 0.6 FTE funding based on them accessing an assumed 15 hours per week of Free Nursery Entitlement

NB - Post 16 pupils will attract a proportion of FTE funding based on agreed teaching time - subject to EFA confirmation that this is appropriate / legal (Sally Burnett to discuss with EFA)

NB - PFI settings will attract additional funding to match their contribution to the Affordability Gap

3 Values

Abbreviation

Value 1

SLCA

Speech, Language and Communication Difficulties with ASC

Cognitive and Learning Difficulties

Profound and Multiple Learning Difficulties

Severe Learning Difficulties

Moderate Learning Difficulties

Specific Learning Difficulties

Value 2

PMLD

Value 2

SLD

Value 3

MLD

Value 3

SPLD

Value 2

SLCD

Value 2

BESD

Value 2

PD

Value 2

SD

Speech Language and Communication Difficulties

Behavioural, Emotional and Social Difficulties

Physical Difficulties

Sensory Difficulties

The following annual funding values will be paid over and above the relevant band values per pupil to all settings;

- Medical needs including Therapies
- Manual handling
- Teaching requires British Sign language
- Autistic Spectrum Complex (To be confirmed if SLCA reduces)

MIN

MH

AMOR

ASC

NB - these band values are aimed at providing funding for the vast majority of pupils in high needs settings but bespoke individual levels of funding will be agreed where there is evidence of exceptionally complex needs. This will typically arise where a pupil would be categorised as band 1 in 2 or more areas of difficulty e.g. where a pupil with PD as a prime need also has severe speech, language and communication difficulties. Applications for bespoke funding will need to be agreed by the Commissioner for Education and/or SENRAP panel on an interim basis prior to moderation.

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<u>2013/14 Mainstream Formula Factors</u>			
Factor – per pupil unless otherwise stated	Primary £	Secondary £	2013/14 flexibility
BPPE KS1-2 (Note 1)	2,644.65		Mandatory
BPPE KS3		3,661.97	Mandatory can be 1 or 2 rates
BPPE KS4		4,467.08	
Lump sum values - per school	106,700.00	106,700.00	Optional – one value allowed
EAL (1,2 & 3yrs)	574.11	574.11	Optional – can be separate sector values
IDACI Band 1 – 40% is notional SEN	434.00	434.00	Mandatory requirement to target deprivation – can use FSM and/or IDACI. Values can be different by sector
IDACI Band 2– 40% is notional SEN	529.00	529.00	
IDACI Band 3– 40% is notional SEN	608.00	608.00	
IDACI Band 4– 40% is notional SEN	781.00	781.00	
IDACI Band 5– 40% is notional SEN	955.00	955.00	
IDACI Band 6– 40% is notional SEN	1,215.00	1,215.00	
FSM Ever 6 – 40% is notional SEN	865.86	865.86	Optional – can be separate sector values
Low Prior Attainment – 100% is notional SEN	701.57	701.57	
NNDR (Business Rates) - per school	Actual cost	Actual Cost	Optional
PFI Affordability Gap funding – per school	Actual cost	Actual Cost	Optional

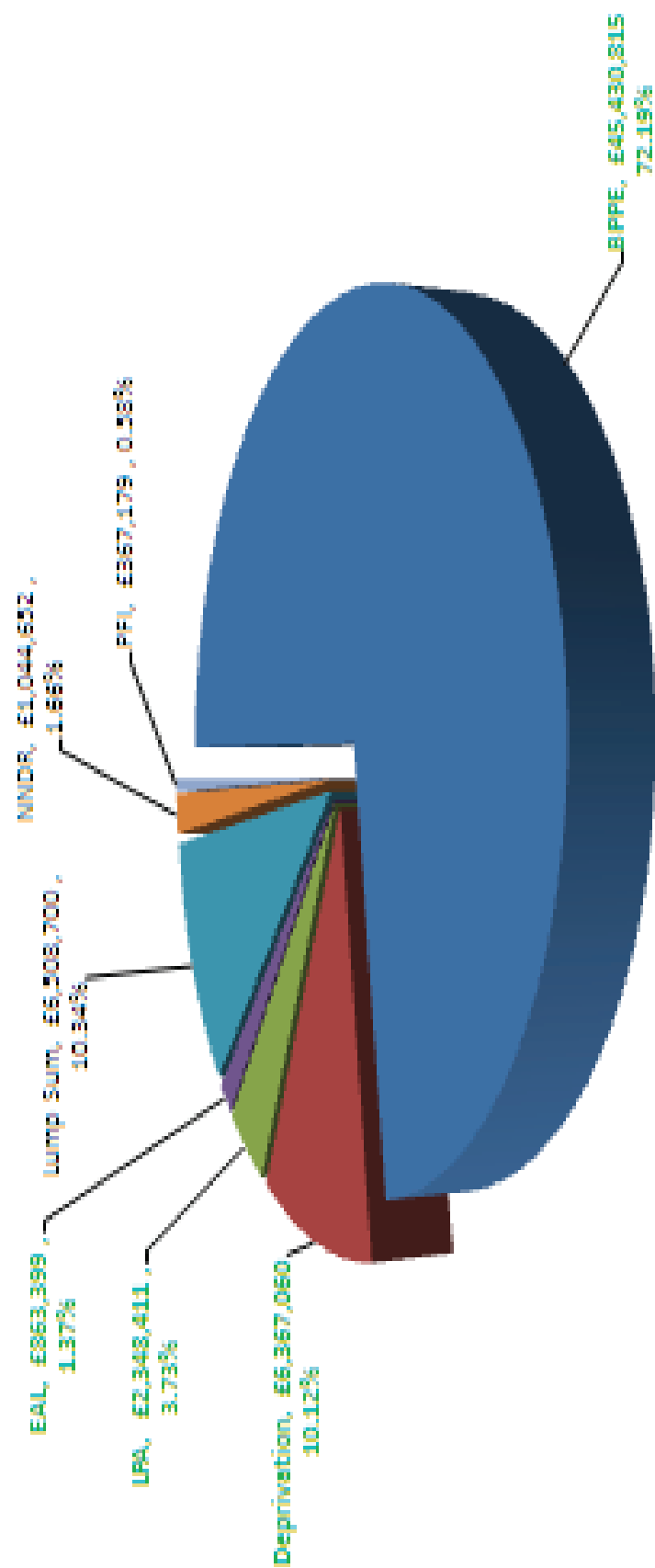
Notes

- 1) Primary BPPE rate includes £54.77 one off increase funded from surplus DSG subject to review in 2014/15
- 2) LAs were asked to ensure notional SEN budget delegations provided sufficient funding for all mainstream settings to the first £6,000 of costs for high needs pupils. The LA based this on being 40% of all deprivation funding and 100% of lower prior attainment funding. Additional funding has been centrally allocated to those schools which have relatively high numbers of statemented pupils and relatively low levels of deprivation funding
- 3) Whilst DfE prescribed the factors that could be used no values were specified other than the maximum lump sum value allowed was £200,000

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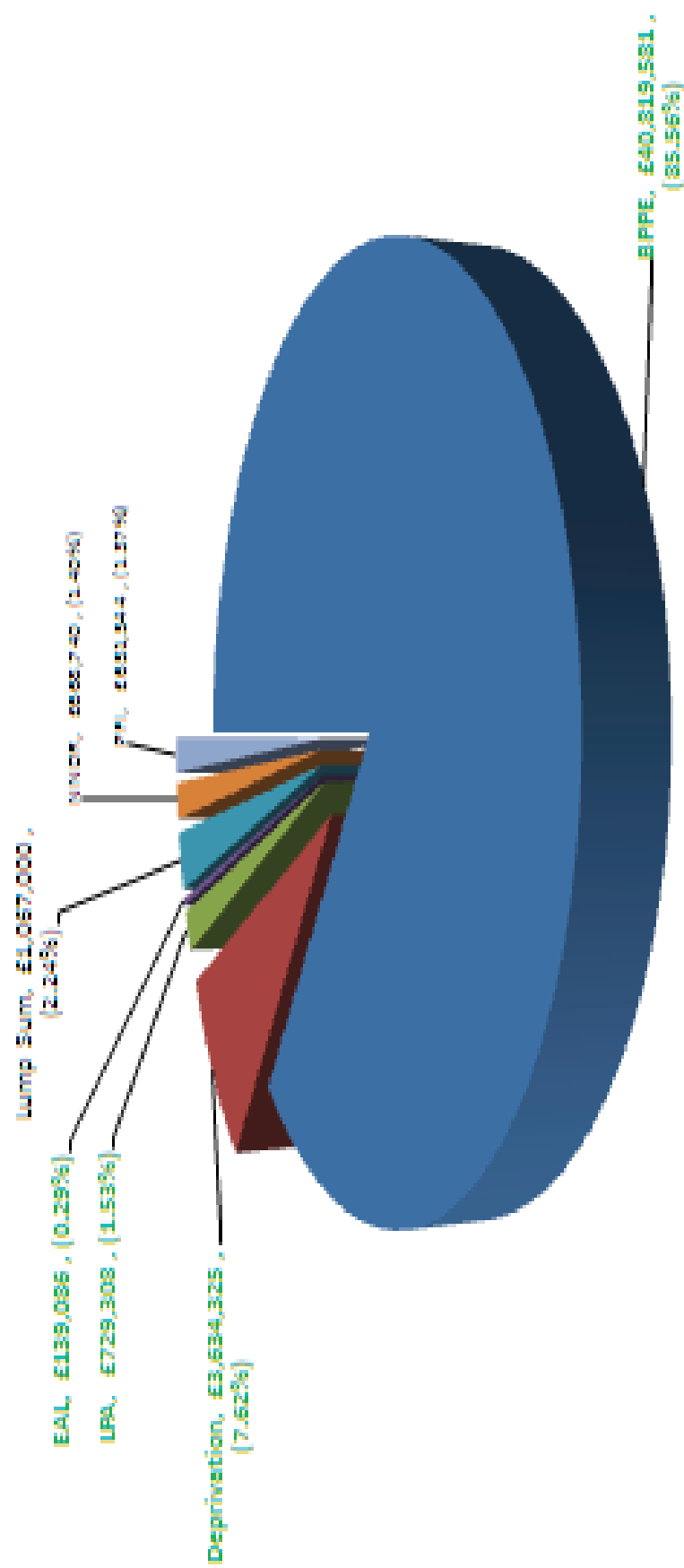
Primary School Formula Allocation 2013/14 – Total Funding £62.39m

(Pupil Led Funding = 87%)



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Secondary School Formula Allocation 2013/14 – Total Funding £47.71m
(Pupil Led = 95%)



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	BPPE Funding Rate			Lump Sum Fixed Sum per school	Low Prior Attainment Funding Rate		EAL Funding Primary			EAL Funding Secondary			FSM Pupils				
	KS 1-2	KS 3	KS 4		Primary	Secondary	Primary Factor - Yrs payable	% of EAL pupils	Funding Rate	Funding Allocation	Secondary Factor - Yrs payable	% of EAL pupils	Funding Rate	Funding Allocation	FSM Ever 6 Pupils	Total Pupils	FSM %
Local Authority	Bath and North East Somerset	£2,462.33	£3,467.46	£4,407.12	£943.72	£3,691.03	EAL_1_PRI	1.37%	£ 1,000.00	£161,933	EAL_1_SEC	0.31%	£2,000.00	£64,007	2,181	22,052	10%
	Bournemouth	£2,685.00	£3,567.00	£4,411.00	£0.00	£0.00	EAL_1_PRI	4.41%	£ 435.00	£209,783	EAL_1_SEC	1.59%	£438.00	£39,969			
	Bristol, City of	£2,394.00	£3,507.00	£3,707.00	£1,144.00	£2,361.00	EAL_2_PRI	8.34%	£ 800.00	£2,010,720	EAL_2_SEC	1.87%	£1,200.00	£309,480	10,533	43,943	24%
	Cornwall	£2,830.18	£3,600.73	£4,786.53	£536.28	£998.82	EAL_3_PRI	1.28%	£ 120.46	£57,554	EAL_3_SEC	0.47%	£259.55	£33,845	14,403	64,880	22%
	Devon	£2,908.04	£4,073.74	£4,073.74	£484.38	£2,334.97	EAL_3_PRI	2.01%	£ 376.31	£380,544	EAL_3_SEC	0.82%	£434.89	£128,191	16,417	86,068	19%
	Dorset	£2,578.84	£3,618.05	£4,542.80	£700.00	£1,200.00	EAL_2_PRI	1.12%	£ 300.00	£91,290	EAL_2_SEC	0.37%	£600.00	£48,180	7,391	48,668	15%
	Gloucestershire	£2,887.21	£3,761.76	£4,514.22	£1,608.38	£4,524.78	EAL_3_PRI	3.61%	£ 804.19	£1,240,534	EAL_3_SEC	1.01%	£804.19	£263,019	13,225	75,158	18%
	Herefordshire	£2,760.00	£3,609.00	£4,547.00	£228.00	£355.00	EAL_1_PRI	1.58%	£ 405.00	£77,817	EAL_1_SEC	0.42%	£405.00	£14,985	3,668	21,015	17%
	Isle of Wight	£2,829.82	£3,710.87	£4,509.95	£820.20	£895.20	EAL_3_PRI	1.83%	£ 493.92	£80,230	EAL_3_SEC	0.36%	£740.98	£18,532	4,229	15,776	27%
North Somerset	£2,681.96	£3,956.13	£3,956.13	£1,755.18	£3,518.12	Not Applicable		£ -	£0	Not Applicable		£0.00	£0	5,035	26,302	19%	
	£2,673.83	£3,621.15	£4,410.15	£560.41	£778.39	EAL_3_PRI	3.97%	£ 506.00	£374,728	EAL_3_SEC	1.13%	£506.00	£77,479	6,249	32,178	19%	
Plymouth	£2,407.01	£3,271.87	£4,372.74	£1,210.76	£2,072.33	EAL_2_PRI	2.94%	£ 1,128.00	£329,841	EAL_2_SEC	0.70%	£2,020.46	£100,708				
Poole	£2,805.00	£3,750.00	£4,254.00	£980.00	£1,950.00	Not Applicable		£ -	£0					12,278	63,970	19%	
Somerset	£2,392.10	£3,782.40	£4,026.01	£1,065.59	£3,830.86	EAL_3_PRI	3.52%	£ 900.00	£676,297	EAL_3_SEC	0.37%	£900.00	£785,500	3,406	34,754	10%	
South Gloucestershire	£2,739.44	£3,823.59	£4,004.53	£776.67	£2,696.83	EAL_3_PRI	2.33%	£ 406.46	£85,076	EAL_3_SEC	0.99%	£355.47	£109,611	3,056	15,960	19%	
Torbay	£2,833.30	£3,820.37	£4,661.10	£629.51	£1,018.96	EAL_1_PRI	1.08%	£ 2,239.32	£835,266	EAL_1_SEC	0.38%	£602.59	£891,910	9,047	59,215	15%	
Wiltshire	£3,372.43	£4,126.43	£4,970.09	£1,236.57	£2,875.47	EAL_3_PRI	3.88%	£ 928.95	£1,447,815	EAL_3_SEC	0.58%	£2,273.24	£1,824,786				
Worcestershire																	
Swindon	£2,644.65	£3,661.97	£4,467.08	£701.57	£701.57	EAL_3_PRI	8.76%	£ 574.11	£863,399	EAL_3_SEC	2.37%	£ 574.11	£1,002,486	5,947	27,389	22%	
Regional Average	£2,720.03	£3,709.86	£4,362.01	£863.51	£2,064.81		2.88%	£637.86			0.76%	£846.27		101,479	561,033	18%	

SBC v Regional	97.2%	98.7%	102.4%	103.6%	81.2%	34.0%	90.0%	67.8%
	Low	OK	OK	OK	Low	Very Low	OK	Low
SBC KS 1 / 2 excluding £54.77	£2,589.88							
SBC v Regional	95.2%							
	Low							

For 2014/15 DfE have set some basic minimum BPPE values					
DfE minimum values for 2014/15	£2,000.00	£3,000.00	£3,000.00	£3,000.00	
SBC v DfE minimum	132%	122%	149%		
	OK	OK	OK	OK	

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Summary of Mainstream Funding Factors as Discussed at SAPH/SASH Consultations

Mainstream Funding Factors Available in 2014/15	Status	SBC now
<u>Basic Per Pupil Entitlement</u> <ul style="list-style-type: none"> - Single unit for primary of at least £2,000 - Single unit for KS3 and KS4 of at least £3,000 <u>Proposals</u> <ul style="list-style-type: none"> - Provisionally cease primary BPPE £54.77 enhancement value and seek MFG exemption subject to review of overall DSG position? - introduce a deferred admissions uplift for reception pupils? 	Mandatory	OK - £2,645 OK - £3,662
<u>Sparsity</u> –fixed or variable amount may be applied up to £100,000 for small schools with school size and distance eligibility thresholds <u>Proposal to introduce this factor from 2014/15</u>	New Optional	N / A
<u>Lump sum</u> – currently only a single value can be used for all schools but we can have separate primary and secondary values next year up to a maximum of £175,000 <u>Proposal to review 2014/15 secondary value</u>	Optional	OK
<u>Looked after Children</u> – single value with eligibility options <u>Proposal to introduce this from 2014/15</u>	Optional	N / A
<u>Split sites</u> – must be based on objective criteria defining what a split site is and how funding is calculated (No proposal to introduce this – but Swindon Academy very keen and making a bid via SASH)	Optional	N / A
<u>Low Prior Attainment</u> – measured via low EYFSP for primary pupils and not reaching L4 at KS2 in English or maths for secondary pupils (wider secondary eligibility in 2014/15) <u>Proposal to increase 2014/15 secondary values plus agree an approach to funding wider secondary eligibility</u>	Optional	OK
<u>Pupil Mobility</u> - funding can be targeted where mobility above 10% occurs (No proposals to introduce this)	Optional	N / A
<u>Temporary Falling Rolls fund</u> - new option available (No proposals to introduce this)	Optional	N / A

Mainstream Funding Factors Available in 2014/15	Status	SBC now
<u>Existing factors in use – no changes initially proposed</u>		
<u>EAL</u> – separate values possible and options over eligibility up to 3 years (REVIEW NUMBER OF YEARS IF NECESSARY?)	Optional	OK
<u>Deprivation</u> – measured via FSM/FSM6 and/or IDACI	Mandatory	OK
<u>Rates</u> – must be funded at LA estimate of actual cost with any adjustment made in the next funding period	Optional	OK
<u>PFI</u> – must be based on objective criteria	Optional	OK
<u>Optional factors not in use – no changes proposed</u>		
<u>Exceptional premises</u> - we can provide funding to recognise rental of leisure facilities should costs exceed 1% of a schools annual budget	Optional	N / A

Deferred Admissions - Estimated Reception Uplift Calculations

Appendix 11

School	NOR in Reception Oct 12 census (Excl SRP's)	NOR in Reception Jan 13 census (Excl SRP's)	Change +/- Oct 12 to Jan 13	Increase based on Pupil Led Funding Avg Prim Rate £3399.69
Bridlewood Primary School	59	60	1	£3,400
Brook Field County Primary	59	60	1	£3,400
Catherine Wayte Primary School	59	60	1	£3,400
East Wichel Community Primary School	39	40	1	£3,400
Eastrop Infants	60	61	1	£3,400
Eldene Primary School	51	53	2	£6,799
Gorse Hill Primary	56	58	2	£6,799
Greenmeadow School	44	47	3	£10,199
Holy Family Catholic Primary	44	45	1	£3,400
Lainesmead Primary School	56	58	2	£6,799
Lethbridge Primary School	69	70	1	£3,400
Liden Primary School	43	44	1	£3,400
Oaktree Primary School	40	41	1	£3,400
Rodbourne Cheney Primary School	52	56	4	£13,599
Shaw Ridge Primary School	53	54	1	£3,400
St Mary'S Rc School	42	44	2	£6,799
Westrop Primary	36	40	4	£13,599
Wroughton Infants School	85	86	1	£3,400
	947	977	30	£101,991

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