



## **NOTICE OF MEETING**

### **Schools Forum**

**Thursday 12 March 2015, 4.30 pm**

**Council Chamber, Fourth Floor, Easthampstead House, Bracknell**

**To: The Schools Forum**

#### **Schools Members:**

Sue Barber, Primary School Governor  
Liz Cole, Primary School Representative  
Liz Cook, Secondary Head Representative  
Karen Davis, Primary Head Representative  
Ed Essery, Secondary School Governor  
Brian Fries, Secondary School Governor  
Martin Gocke, Pupil Referral Unit Representative  
Keith Grainger, Secondary Head Representative  
David Matika, Primary School Governor  
John McNab, Secondary School Governor  
Tony Reading, Primary School Governor  
Trudi Sammons, Primary School Representative  
Anne Shillcock, Special Education Representative  
Debbie Smith, Secondary Head Representative  
David Stacey, Primary School Governor  
Beverley Stevens, Academy School Representative  
John Throssell, Primary School Governor (Vice-Chairman)

#### **Non-Schools Members**

George Clement, Union Representative (Chairman)  
Robin Sharples, Oxford Diocese (Church of England)  
Kate Sillett, PVI Provider Representative  
Vacant, 14-19 Partnership Representative  
Vacant, Diocese Representative (Roman Catholic)

ALISON SANDERS  
Director of Corporate Services

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Published: 3 March 2015

## **Schools Forum**

**Thursday 12 March 2015, 4.30 pm**

**Council Chamber, Fourth Floor, Easthampstead House, Bracknell**

Sound recording, photographing, filming and use of social media at meetings which are held in public are permitted. Those wishing to record proceedings at a meeting are however advised to contact the Democratic Services Officer named as the contact for further information on the front of this agenda as early as possible before the start of the meeting so that any special arrangements can be made.

### **AGENDA**

Page No

1. **Apologies for Absence/Substitute Members**

To receive apologies for absence and to note the attendance of any substitute members.

2. **Declarations of Interest**

Any Member with a Disclosable Pecuniary Interest or an Affected Interest in a matter should withdraw from the meeting when the matter is under consideration and should notify the Democratic Services Officer in attendance that they are withdrawing as they have such an interest. If the Interest is not entered on the register of Members interests the Monitoring Officer must be notified of the interest within 28 days.

3. **Minutes and Matters Arising**

To approve as a correct record the minutes of the meeting of 15 January 2015.

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4. **Proposals for the 2015-16 Early Years and High Needs Block Elements of the Schools Budget**

To seek comments from the Forum on proposals from the Council for the 2015-16 Early Years and High Needs Block elements of the Schools Budget. There are also a small number of decisions for the Forum to consider in line with the statutory funding framework.

9 - 24

5. **Update to the Scheme for Financing Schools**

To seek agreement to proposals to update the Scheme for Financing Schools in respect of:

25 - 32

- i. The control on surplus school balances;
- ii. The deadline to submit budget plans to the authority.

6. **2014-15 Funding Allocations to Schools From Budgets Centrally Managed by the LA and Other Related Matters**

To present information to the Forum on the in-year allocation of funds to schools through School Specific Contingencies and other centrally managed budgets that are funded from the Dedicated Schools Grant (DSG) and in the first instance centrally managed by the council.

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7. **Dates of Future Meetings**

The next meetings of the Schools Forum are scheduled at 4.30pm in the Council Chamber at Easthampstead House for:

Thursday 23 April 2015

Thursday 18 June 2015

Thursday 16 July 2015

Thursday 17 September 2015

Thursday 22 October 2015

Thursday 10 December 2015

Thursday 14 January 2016

Thursday 10 March 2016

Thursday 21 April 2016

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**SCHOOLS FORUM  
15 JANUARY 2015  
4.30 - 6.10 PM**

**Present:**

**Schools Members**

Sue Barber, Primary School Governor  
Liz Cook, Secondary School Representative  
Martin Gocke, Pupil Referral Unit Representative  
Keith Grainger, Secondary Head Teachers Representative  
Steve James, Secondary School Governor (Substitute)  
David Matika, Primary School Governor  
Tony Reading, Primary School Governor  
Anne Shillcock, Special Education Representative  
Debbie Smith, Secondary School Representative  
David Stacey, Primary School Governor  
Beverley Stevens, Academy School Representative  
John Throssell, Primary School Governor (Vice-Chairman)

**Non-Schools Members:**

George Clement, Union Representative (Chairman)

**Observer:**

Councillor Dr Barnard, Executive Member for Children, Young People and Learning

**Also Present:**

Bob Eley, Executive Headteacher, Brakenhale School  
Andrew Young, Chair of Governors, Brakenhale School

**Apologies for absence were received from:**

Ed Essery, Secondary School Governor  
Brian Fries, Secondary School Governor  
John McNab, Secondary School Governor  
Robin Sharples, Oxford Diocese (Church of England)

**19. Apologies for Absence/Substitute Members**

Steve James, Secondary School Governor, attended the meeting as a substitute for John McNab.

**20. Declarations of Interest**

Keith Grainger declared an interest in respect of Item 4 as the Headteacher of Garth Hill College.

**21. Minutes and Matters Arising**

**RESOLVED** that the minutes of the meeting held on 27 November 2014 be approved and signed by the Chairman as a correct record.

The Chairman welcomed new members to the Forum. Liz Cook from Easthampstead Park Community School and Debbie Smith from Sandhurst School were two new Secondary School Representatives, and Beverley Stevens, new Headteacher at Ranelagh, was the new Academy School Representative.

## 22. **Proposal for Additional Financial Support to The Brakenhale School**

The Forum received a report which presented a proposal for £0.252m of financial support over two years to fund the school improvement support plan for The Brakenhale Secondary School. This followed the 'in principle' agreement to relevant support made at the previous Forum meeting on 27 November 2014.

In response to Forum members' questions the following points were made:

- Mr Bob Elsey, Executive Headteacher at Brakenhale advised that he had 25 years experience of teaching in the Bracknell area and that Brakenhale needed a strategy for improvement over the next few years. Staff at the school were very committed to improving school performance, working long hours and looking at different strategies. There had been a department-led review and a consultant Ofsted inspector commissioned who was currently in the school for the week. The staff would be given areas for improvement to focus on and the consultant Ofsted inspector would return just before the Easter school holidays to evaluate progress. An Associate Headteacher was also now in place in advance of the permanent Headteacher appointment that was expected at September 2015.
- Mr Andrew Young, Chair of Governors at Brakenhale, commented that it had been difficult to recruit teachers with the right skills and experience and that a recruitment strategy had been put into place. Additionally, senior key teachers would benefit from the skills and experience of the maths and English consultants.
- Mr Elsey confirmed that he had been in contact with Her Majesty's Inspectorate (HMI) in December 2014 and an HMI visit was expected at the school before half-term in February 2015 to assess progress to date.
- Mr Young advised that a review of governance at the school was being facilitated by an external trainer, and there would be investment in teacher training.

The actions to be undertaken had been carefully considered and there was a need to act without delay. The financial package established for Brakenhale would assist in solving the issues at the school, and there would be regular monitoring visits by the Local Authority and Ofsted.

Bob Elsey and Andrew Young were thanked for attending the meeting.

**RESOLVED** that pursuant to Regulation 4 of the Local Authorities (Executive Arrangements) (Access to Information) Regulations 2012 and having regard to the public interest, members of the public and press be excluded from the meeting for the consideration of this which involves the likely disclosure of exempt information under the following category of Schedule 12A of the Local Government Act 1972:

(3) Information relating to the financial or business affairs of any particular person.

Members of the public and press were allowed to re-enter the meeting room after debate regarding the report and confidential annex.

**RESOLVED** that the Forum:

- i. **AGREED** to fund the school improvement support plan from the budget to support schools in financial difficulty, aiding recovery from Requires Improvement (paragraph 5.12).

23. **Update on Cost Pressures being Experienced on Supporting High Needs Pupils and Proposals for the 2015-16 Budget**

The Forum received a report updating members on the current cost pressures being faced in respect of High Needs Pupils, the actions proposed to manage cost increases and which sought agreement that recommendations be made to the Executive in respect of budget changes to be made for 2015-16.

The Council had a new statutory duty to provide education for children and young people aged 0-25 years and to ensure that student needs were being met effectively. However, insufficient funds for this new duty had been allocated to local authorities by the Education Funding Agency (EFA) and relevant budgets were therefore forecast to over spend by £1.557m in 2014-15, rising to £2.168m in 2015-16 and then £2.794m in 2017-18, if no actions were taken.

The main factor influencing the over spending related to higher numbers of post-16 students as a result of increasing entitlement to 25 years. The impact was also being felt in other local authorities with Buckinghamshire County Council proposing a legal challenge to the decision making process of the EFA.

In response to Forum members' questions, the following points were made:

- Discussions had been held with local authority partners who had advised that they were not duplicating the new provisions proposed by BFC through the development of SEN Units. In the first instance, the aim was for the high needs provision to be filled by Bracknell Forest residents but if there were vacancies, then young people outside of Bracknell would be considered.
- There was a tight timescale for 10 places to be available at Blue Mountain from September 2017 but a contractor would be engaged and it was on track at present.
- Five students had expressed an interest in the ASD Unit at Eastern Road who would otherwise have been placed out of the area at greater cost and disruption. The resource was not for young people whose needs could be met in a mainstream school, but for young people with high specialist needs.
- Martin Gocke suggested that some pupils at Kennel Lane School could have been placed in mainstream schools and queried whether mainstream schools could be facilitated to be able to meet higher needs. This suggestion would be considered further.
- It was a significant challenge to reduce cost pressures but officers were confident this could be done over time, if the identified improvement actions were put into place.
- Officers in the SEN Team were actively providing advice and support to the college in order for there to be appropriate SEN provision for post-16 pupils.
- The EFA were fully aware of the financial difficulties being experienced by local authorities but whether their funding formula would be changed was not known. Representations were being made that the current funding formula was putting a burden on local authorities.

**RESOLVED** that the Forum **NOTED**:

- i. The latest forecast over spending in 2014-15 for SEN related budgets at £1.557m, an increase of £0.464m compared to that expected in August (paragraphs 5.9 and 5.10);
- ii. The main factor contributing to the increased costs remains unchanged and relates to additional numbers of post 16 students (paragraph 5.9);
- iii. The Education Funding Agency has allocated insufficient funding to LAs to meet their new responsibilities and Buckinghamshire County Council is in the process of commencing a legal challenge (paragraphs 5.11 and 5.54);
- iv. The expected on-going trend indicates future cost increases on external SEN places from £5.966m in 2014-15 to £7.460m in 2017-18 if no action is taken (paragraph 5.23 and Annex 2);
- v. The funding strategy proposed to manage down future cost pressures (paragraphs 5.27 to 5.48);
- vi. That the DfE has commenced a review of High Needs Block DSG allocations and that future changes to funding may result (paragraph 5.55);

In response to the Council's budget proposals for 2015-16, **RESOLVED** that the Forum **RECOMMENDED** to the Executive:

- vii. That in order to achieve the significant cost reductions required on SEN budgets, £0.06m of new funding be provided by the Council to finance the additional staffing resources required in the SEN Team (paragraph 5.49);
- viii. That to ensure a net nil cost increase in Council spend, that the Schools Budget finances an additional £0.06m of educational fee costs in respect of Looked After Children (paragraph 5.50);

**RESOLVED** that the Forum **RECOMMENDED** that the Executive **AGREE** the following:

- ix. The release of the £0.490m of funds from the SEN Resource Units Reserve from January 2015 to finance start-up costs at Rise@Garth (paragraph 5.32);
- x. The medium term budget plan for Rise@Garth, subject to annual review (paragraph 5.33 and Annex 4).

#### 24. **Proposals for the 2015-16 Schools Block Element of the Schools Budget**

The Forum received a report providing members with an update on school funding and which sought comments on proposals from the Council for the 2015-16 Schools Block element of the Schools Budget. The Forum was aware of the significant financial pressures on external placement costs for High Needs Pupils, which were now estimated at £2.168m for 2015-16.

This significant cost pressure could only reasonably be financed by using funding intended for schools. The consequence of this was that of the £2.824m additional resources in next year's Schools Block budget, only changes in pupil numbers and their characteristics would be fully funded with schools needing to absorb all other cost pressures.



Whilst 2015-16 was considered the most difficult Schools Budget the Council had to propose to date, it was also highlighted that significant cost pressures were already known to exist in future years, meaning further challenges lie ahead.

In response to the proposals, Secondary Headteacher Forum members expressed concern that financial pressures would be very challenging this year for schools in Bracknell and were concerned about the effect on levels of teaching and being able to respond to the challenges of Ofsted.

**RESOLVED** that the Forum **AGREED**:

- i. that up to £0.06m of specialist school improvement and management support costs can be charged to the budget to support schools in financial difficulty to reflect actual levels of support being provided (paragraph 5.40);
- ii. that the requirement to hold £0.51m in general reserves as a contingency provision against unforeseen cost increases is waived one year for the 2015-16 budget (paragraph 5.42);
- iii. that the arrangements in place for the administration of central government grants are appropriate (paragraph 5.46);
- iv. the budget amounts for each of the services centrally managed by the council and funded from the School Block DSG as set out in Annex 1 (paragraph 5.48);
- v. that any year end deficit on centrally managed budgets, currently estimated at £0.295m can be carried forward and funded from a future Schools Budget (paragraph 5.49);

In its role as the representative body of schools and other providers of education and childcare, the Forum **REQUESTED** that the Executive Member **AGREE** the following decisions for the 2015-16 Schools Budget:

- vi. the self-balancing budget adjustments set out in lines 3 and 4 of Table 2;
- vii. the £2.824m of additional resources are allocated to the budget areas set out in Table 2 as follows:
  - a. £0.929m into delegated school budgets including the release of £0.1m from the Job Evaluation Reserve to part finance the estimated cost of the Bracknell Forest Supplement (column 1);
  - b. a £0.098m deduction in centrally managed budgets (column 3);
  - c. £1.938m of Schools Block DSG in 2015-16 to support High Needs pupils (column 4)
- viii. that the budget for Schools Block DSG is reset to £65.276m and other Schools Block related grants reset to anticipated 2015-16 amounts (paragraphs 5.16 and 5.41);
- ix. that the DfE pro forma template of the 2015-16 BF Funding Formula for Schools as set out in Annex 5 be submitted for the 20 January deadline (paragraph 5.10).

**RESOLVED** that the Forum **NOTED**:

- x. the range of cost pressures that schools were likely to need to finance from within existing resources (paragraph 5.43);

- xi. the anticipated future cost pressures for which a financial provision would need to be made in the near future (paragraph 5.52);
- xii. that proposals in respect of the Early Years and High Needs Block elements of the Schools Block would be presented to the Forum in March when more information was available in respect of funding and likely costs (paragraph 5.59).

**25. Local Authority Budget Proposals for 2015-16**

The Forum received a report which summarised the current position on the Council's budget preparations for 2015/16 for both revenue and capital. The report was based on the indicative 2015/16 funding figures received in February 2014, and with the financing information subsequently released being very much in line the initial assumptions, no significant changes would be required as a result of this update.

The revenue budget continued to experience pressures which were due to reductions in funding from the government and demographic changes in the borough that needed to be balanced by savings and measured use of balances. For the Children, Young People and Learning Department, there was £0.140m of pressures, mainly in relation to supporting vulnerable children and £0.494m of savings proposed, most of which related to Children's Social Care where recent investments in staffing were now delivering savings on placement costs for looked after children.

For the capital programme, the Council would invest significant sums in Coral Reef, the town centre infra-structure and the Binfield Learning Village at Blue Mountain. For the Children, Young People and Learning Department, as in previous years, investment would be limited to the amount of DfE grants received for school places, which had been confirmed at £3.477m, and planned maintenance, the amount of which was outstanding, but expected to be in line with the £1.8m received in 2014-15. Initial plans indicated an overall funding gap of £2.2 million but schemes were under review to secure the required reductions.

In response to the recommendation to comment on the Executive's budget proposals the Forum requested that the Council's Strategy to fund revenue budgets for relevant education services up to the level of grant income be reviewed with a view to considering providing top up funding from the Council's own resources.

In response, the Executive Member for Children, Young People and Learning commented that the Council's budgets were also facing significant financial pressures and had for a number of years and that the Council had provided extra funding during the year for specific emerging issues as well as undertaking significant capital investment to deliver sufficient school places for which the council funds the cost of borrowing.

**26. Dates of Future Meetings**

The next meetings of the Schools Forum are scheduled at 4.30pm in the Council Chamber at Easthampstead House for:

Thursday 12 March 2015  
Thursday 23 April 2015

Thursday 18 June 2015  
Thursday 16 July 2015  
Thursday 17 September 2015

Thursday 22 October 2015  
Thursday 10 December 2015

Thursday 14 January 2016  
Thursday 10 March 2016  
Thursday 21 April 2016

If there was no business to discuss, meetings would be cancelled.

**CHAIRMAN**

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TO: SCHOOLS FORUM

DATE: 12 MARCH 2015

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**PROPOSALS FOR THE 2015-16 EARLY YEARS AND  
HIGH NEEDS BLOCK ELEMENTS OF THE SCHOOLS BUDGET**  
Director of Children, Young People and Learning

**1 PURPOSE OF REPORT**

- 1.1 The purpose of this report is to seek comments from the Schools Forum on proposals from the Council for the 2015-16 Early Years and High Needs Block elements of the Schools Budget. There are also a small number of decisions for the Forum to consider in line with the statutory funding framework.
- 1.2 Recommendations agreed from this report will form the basis of proposals to be presented to the Executive Member for Children, Young People and Learning, who has responsibility for agreeing most aspects of the Schools Budget.

**2 RECOMMENDATIONS**

That the Forum AGREES:

**2.1 That the Executive Member makes the following decisions:**

**For the Early Years Block funded budgets:**

1. That funding rates for the free entitlement to early years education and childcare for 2, 3 and 4 year olds remain unchanged from those paid in the 2014-15 financial year (paragraph 5.14);
2. The total initial budget is set at £5.183m, it incorporates the changes set out in the supporting information, and relevant budgets are therefore updated to those set out in Annex 2.

**For the High Needs Block funded budgets:**

3. The total initial budget is set at £13.829m, it incorporates the changes set out in the supporting information, and relevant budgets are therefore updated to those set out in Annex 4.

**2.2 In its role of statutory decision maker, that there are appropriate arrangements in place for:**

1. Early years provision (paragraph 5.15);
2. The education of pupils with SEN (paragraph 5.36), and
3. The use of pupil referral units and the education of children otherwise than at school (paragraph 5.36).

### **3 REASONS FOR RECOMMENDATIONS**

- 3.1 To ensure that the 2015-16 Schools Budget is set in accordance with the funding framework, the views of the Schools Forum and the anticipated level of resources.

### **4 ALTERNATIVE OPTIONS CONSIDERED**

- 4.1 A range of options have been presented for consideration as part of the budget setting process.

### **5 SUPPORTING INFORMATION**

#### Background

- 5.1 The last meeting of the Forum received a budget report that concentrated on the Schools Block element of Dedicated Schools Grant (DSG) which in essence funds delegated school budgets and the small number of services that the Department for Education (DfE) allows LAs to manage centrally on behalf of schools. Members will recall that this highlighted the significant financial difficulties being experienced in setting the 2015-16 Schools Budget and that £2.093m of pressures on the cost of supporting pupils with high needs would have to be funded from Schools Block income.
- 5.2 This report presents proposals on the remaining elements of the Schools Budget; the Early Years Block that funds provisions and support for children up to 5, including those in maintained school nurseries; and the High Needs Block that supports pupils with additional needs above £10,000, which is the national funding threshold set by the DfE. Clearly, setting these elements of the budget will also need to take account of the current financial difficulties.
- 5.3 This two staged approach to setting the budget reflects the different timescales that relevant budget information becomes available, with Early Years Block DSG being partly set on January 2015 census, and the High Needs Block DSG not being confirmed until March 2015, whereas Schools Block DSG funding was announced in late December 2014.
- 5.4 The statutory regulatory framework also requires the Council to consult with the Schools Forum each year relating to the arrangements proposed to be put in place to meet various Schools Budget functions and where relevant, this is also included within the report.

#### Early Years Block

##### *Provisional estimate of Early Years Block DSG income*

- 5.5 The Early Years Block income for the universal entitlement to 15 hours a week free education and childcare for 3 and 4 year olds is calculated in the same way as that for the Schools Block; an amount per child multiplied by headcount numbers. The DfE has confirmed that per child funding rates for each LA will remain unchanged from 2014-15, meaning no allowance for inflation or other pressures. The BF per child Early Years funding rate therefore stays at £3,928.30. Whilst the free

entitlement is for 15 hours provision per week, the DfE convert this to their standard full time education rate of 25 hours a week for 38 weeks a year. This means the £3,928.30 annual funding rate is equivalent to £4.13 per hour.

- 5.6 The initial DfE allocation of Early Years Block DSG for 2015-16 has been made based on the January 2014 Early Years Census and equates to £4.518m. This will be updated during 2015-16 for January 2015 and January 2016 pupil numbers which means that the final Early Years Block will be based on 5/12ths January 2015 numbers, to cover likely costs between April and August 2015, and 7/12ths January 2016 numbers, to cover likely costs between September 2015 and March 2016.
- 5.7 To ensure that the most accurate and up to date information is used in budget calculations, rather than using the initial DfE funding allocation, it is proposed to use the LAs estimate of actual take up at January 2015. Therefore, the funding allocation for budget purposes is proposed to be based on 1,133 eligible pupils, 17 lower than at January 2014, which will generate £4.451m. As set out above, this will be subject to change once relevant census data becomes available, which is expected to be confirmed by the DfE in June 2015 and June 2016 respectively. If a significant change in income is anticipated, there is likely to be a need for an in-year review of budgets.
- 5.8 The Early Years Block also includes funding for the 40% most deprived 2 year olds who are established from meeting at least 1 of the following criteria:
- Their family gets 1 of the following:
    - Income Support
    - Income-based Jobseeker's allowance
    - Income-related Employment and Support Allowance
    - Support under part VI of the Immigration and Asylum Act 1999
    - The guaranteed element of State Pension Credit
    - Child Tax Credit (provided they're not also entitled to Working Tax Credit and have an annual gross income of no more than £16,190)
    - Working Tax Credit 4 week run on
    - Working Tax Credits and earn £16,190 a year or less
  - they have a current statement of SEN or an Education, Health and Care plan
  - they attract Disability Living Allowance
  - they are looked after by a local authority
  - they have been adopted from care in England or Wales
  - they have left care through special guardianship order, child arrangements order or adoption order.
- 5.9 For 2015-16, there is a change to the way that the DfE calculate LA funding for 2 year olds. Rather than providing two funding elements; one for places, which is expected to be passed on to providers; and the other for trajectory projects which are intended to help develop sufficient high quality local provision and support services during the initial roll out of the new policy for funding disadvantaged 2 year olds, head count data only will be used. This will be calculated by the DfE in exactly the same way as 3 and 4 year olds are funded, as set out above in paragraph 5.6, although a

## Unrestricted

different funding rate of £5,215.50 will be used. Again, the DfE base this rate on 25 hours a week take up for 38 weeks a year, which is equivalent to £5.49 per hour.

- 5.10 Based on the 128 eligible 2 year olds taking up the provision at January 2015 remaining unchanged through to January 2016, £0.668m of funding would be received. This compares to £0.964m in the current year when additional resources were included as short term trajectory start-up funding by the DfE to support a successful roll out of the new policy.
- 5.11 For 2015-16, the scope of the Pupil Premium has been extended to cover 3 and 4 year olds that aren't already receiving funding in a maintained school reception class. The DfE will require all LAs to pay providers a universal supplement of £0.53 per hour, equivalent to £302.10 a year for each eligible child who takes up the 570 free hours of entitlement. In the first instance, an allocation of £0.064m will be received which is based on a DfE estimate of eligible numbers. This will be subject to update once actual take-up from the autumn term becomes available, with funding then adjusted up or down in January 2016 to reflect actual numbers. The LA has a duty to pay the supplement for all eligible children, irrespective of the amount of funds allocated by the DfE.
- 5.12 Taking account of the initial DSG funding estimate for 3 and 4 year olds of £4.451m and £0.668m for 2 year olds, together with Pupil Premium income of £0.064m, the initial Early Years Block DSG income is forecast to be £5.183m, and the initial budget is recommended to be set at this level.

### Proposed use of Early Years DSG income

- 5.13 There are three main areas that BF use Early Years Block DSG income to fund:
1. The local Early Years Single Funding Formula (EYSFF), which must be used to fund providers delivering the free entitlement of 15 hours a week of childcare and early years education for 3 and 4 year olds. The EYSFF is a sub-Formula to the main BF Funding Formula for Schools. Funds are allocated each term on actual participation levels, on an hourly funding rate basis, consisting of a base rate paid to providers (£3.17 for maintained schools, £3.71 for private, voluntary and independent (PVI) sector providers), supplemented by hourly rates where qualifying criteria is met for High Deprivation (ranging from 0p - 32p) and High Quality (ranging from 0p - 48p). Funding rates are set out in full at Annex 1, with an average provider funding rate of £3.84.
  2. Provision of free childcare and early education for eligible 2 year olds (see paragraph 5.8 above for relevant criteria). To replicate the way LAs are now funded for 2 year olds, providers can no longer be funded on the basis of planned places – it must be actual participation levels. So in a similar way to 3 and 4 year olds, funds will have to be allocated each term on actual participation levels, at the previously agreed universal funding rate of £5.10. The one exception to this being additional supplements paid for children with Special Educational Needs (SEN) at an additional rate of £7.20 and a second, higher additional hourly rate of £9.00 for those with severe or complex needs.
  3. Central support services for 2, 3 and 4 year olds. Subject to agreement of the local Schools Forum, LAs are permitted to retain funds centrally to support early years providers. The current year budget includes agreement



from the BF Forum to centrally retain funds for a contingency, designed to meet in-year cost increases from rising participation rates, SEN etc, a multi-professional assessment centre, specialist SEN support, the cost of providing free milk to children and supporting the development of provisions for 2 year olds through funding outreach support, delivery of sufficient places, workforce development, publicity and marketing expenses.

5.14 Taking account of the significant financial difficulties being experienced by the council and the cash flat funding settlement from the DfE, all funding rates as set out above in paragraph 5.13 are proposed to continue into 2015-16 unchanged, including retaining base funding rates and supplements at 2014-15 levels. However, some changes to budget amounts are proposed, and these are set out below:

1. Resetting the 2014-5 base budget to reflect temporary, one-year funding allocations. In setting the 2014-15 base budget, the Forum agreed that:
  - a. £0.259m of unspent 2013-14 Early Years budget should be rolled forward into 2014-15 to assist with the roll out of the new duty relating to provisions for the most disadvantaged 2 year olds. This needs to be removed for 2015-16.
  - b. £0.265m revenue funding used to develop sufficient places for 2 year olds in 2014-15 would be returned to finance payments to providers for 2 year olds in 2015-16. There is no overall effect from this change, but budget provisions need to be moved to the correct areas in the accounts.
2. Updated budget provision for payments to providers to reflect:
  - a. Estimated actual participation rates for 3 and 4 year olds by provider using May 2014, October 2014 and January 2015 data as a proxy for 2015-16, using current funding rates. Note: this is the most up to date data available to forecast the likely budget requirement next year, but payments will be adjusted in-year to reflect actual participation together with revised hourly rates should provider supplement payments for deprivation and quality change. Any differences in payments will be funded through the contingency. This equates to a saving of £0.123m.
  - b. Actual participation rate for 2 year olds by provider, based on January 2015 data only. This reflects the on-going increase in take-up during the year and to use earlier actual termly data would most likely under estimate cost. Again, payments will be adjusted in-year to reflect actual participation and be funded through the contingency. This equates to a saving of £0.148m.
3. The new Early Years Pupil Premium allocations to providers are at this stage assumed to be equivalent to the provisional DfE funding assessment of £0.064m, and a new budget needs to be created accordingly.
4. To reflect the withdrawal of trajectory funding from the DfE for the roll out of funding for 2 year olds together with other changes, the range of central support services have been reviewed and a number of changes are proposed that aggregate to a net saving of £0.091m:
  - a. The LA Budget Proposals for 2015-16 paper presented to the Forum in January set out the intention to remove funding for a 1 FTE post of Early Years Development Supervisor as the role supports childcare providers delivering free early education by

ensuring high quality early learning experiences for all children and should therefore be charged to the Schools Budget. This post is critical to ensuring early years providers are tracking and monitoring children's early years progress to ensure school readiness and equates to a pressure of £0.035m.

- b. A review of recent calls on the provider contingencies for 2, 3 and 4 year olds has indicated the opportunity to reduce budgetary provision. These contingencies fund in-year increases in take-up and other support to providers e.g. SEN children, providers in financial difficulty and have spent on average £0.071m in the last three years, although this figure is likely to increase as a result of the new entitlement for 2 year olds. It is also proposed to amalgamate these separate amounts into one contingency for 2015-16 of £0.115m. This is considered an appropriate amount, which represents 2.5% of the expected spend on the free entitlement. This equates to a saving of £0.050m.
- c. With the withdrawal of trajectory funding to support the free entitlement for the most disadvantaged 2 year olds, it is proposed to delete 1 of the current 2 Outreach Workers that ensure eligible children are identified and encouraged to take up the free entitlement, and all other support to providers. Retention of 1 Outreach Worker is considered essential at this stage to continue supporting successful placements of eligible 2 year olds. Placing these vulnerable children at an early stage is key to effective school readiness, improved outcomes and narrowing the achievement gap. This equates to a saving of £0.076m.

- 5.15 The Forum is recommended to agree this approach to setting the Early Years Block related budgets to the Executive Member and also confirm that as a consequence, appropriate arrangements are in place for Early Years provisions, which the LA is required to consult with the Forum on each year. Annex 2 identifies the resultant breakdown of the Early Years budget if the proposals in this report are agreed.

#### The High Needs Block

- 5.16 This section of the report builds on the information provided at the previous meeting of the Forum in relation to the cost pressures being experienced on high needs pupils and the decision that £2.093m of Schools Block DSG funding would be used to finance the cost of supporting pupils with high needs.

#### Coverage and outline of High Needs Funding

- 5.17 In line with the special educational needs and disabilities (SEND) reforms that were introduced from September 2014, the High Needs Block is intended to fund a continuum of provision for pupils and students with SEN, learning difficulties and disabilities, from their early years to age 25.
- 5.18 The DfE has determined that where the cost of provision is above £10,000 it will be classified as high needs. In such circumstances, a "place-plus" approach to funding will be used which can be applied consistently across all providers that support high needs pupils and students as follows:

- a. **Element 1, or “core education funding”**: equivalent to the age-weighted pupil unit (AWPU) in mainstream schools, which the DfE has stated the national average is around £4,000.
- b. **Element 2, or “additional support funding”**: a budget for providers to deliver additional support for high needs pupils or students with additional needs of up to £6,000.

Specialist and Alternative Providers (AP), such as special schools and Pupil Referral Units (PRUs) only cater for high needs pupils and therefore receive a minimum £10,000 (Element 1 funding plus Element 2) per agreed place. AP providers were previously funded at £8,000 per place but from September 2015 will move to the same rate as other specialist providers. The change is expected to be cost neutral with the extra place funding being financed from a deduction to the DSG funding LAs receive to make top up payments.

- c. **Element 3, or “top-up funding”**: funding above elements 1 and 2 to meet the total cost of the education provision required by an individual high needs pupil or student, as based on the pupil’s or student’s assessed needs. This element is paid to all provider types, for pupils with assessed needs above the £10,000 threshold.

5.19 Additionally, High Needs Block DSG is also intended to be used where high needs provisions are not arranged in the form of places e.g. specialist support for pupils with sensory impairments, or tuition for pupils not able to attend schools.

*Provisional estimate of High Needs Block DSG income*

5.20 The High Needs Block is the most complex area of DSG funding with the EFA intending to assist LAs and schools with their budget planning by moving to a system that confirms funding levels in December prior to the relevant financial year. This will also result in removing the burden of an annual full high needs place review to set each LAs lagged funding to a system that uses the school census and the individualised learner record maintained for post-16 students.

5.21 However, the EFA has determined that the quality and timeliness of the data available from the school census and individualised learner record that colleges complete would not allow for accurate allocations in time for the 2015-16 financial year DSG settlement in December 2014.

5.22 As the desired data source is not considered sufficiently robust and accurate, in order to avoid the full high needs place review, the EFA will roll forward the published 2014-15 academic year high needs place numbers as the basis for place funding allocations in the 2015-16 academic year. Therefore, the starting point for High Needs DSG funding in 2015-16 will be the allocation received in 2014-15 adjusted for the full year effect of funded pupil places as these are initially funded on an academic, rather than financial year basis. Provisional information from the EFA indicates that funding of £12.818m will be received, a reduction of £0.033m on the current amount.

5.23 As reported at the last meeting of the Forum, the EFA considered exceptional cases where using published 2014-15 academic year places as the basis for the 2015-16 academic year could fail to provide the place funding that institutions need. The following criteria was used to determine bids:

## Unrestricted

- The actual number of pupils or students occupying high needs places in 2014-15 academic year is **significantly** higher than the 2015-16 place numbers, either in aggregate at local authority level or for one or more institutions, and this is expected to continue and increase in the 2015-16 academic year;
- There is a **significant** number of new places resulting from infrastructure change (e.g. new school);
- There is a **significant** infrastructure change involving high needs places for the 2015-16 academic year, but not an increase in overall numbers e.g. institution closures, mergers and new institutions; or
- There is a **significant** change to hospital education provision.

Note: specialist post-16 institutions (previously known as independent specialist providers) and non-maintained special school place numbers are determined directly by the EFA and are therefore excluded from the exceptional places process.

5.24 Taking account of the forecast increase in high needs pupils for next year, the Council made a bid for additional places at the new Autistic Spectrum Disorder Unit at Garth Hill College and Bracknell and Wokingham College. The EFA have determined that no additional places will be funded at Garth Hill College as "there is no certainty that the places will be required" but 43 extra places will be funded at Bracknell and Wokingham College.

5.25 These extra places will be funded from September 2015 which equates to £0.251m in 2015-16 financial year. As a Further Education Institution, Bracknell and Wokingham College will be funded directly by the EFA, so this has no overall effect on the BF High Needs Block DSG allocation. However, there will be a saving from not needing to purchase directly the shortfall in places that would otherwise have occurred.

Overall, the EFA have allocated £7.8m for extra places as a result of the exceptions process.

5.26 There is one change from the EFA to the way places are planned which may have a financial impact. Rather than being planned on a residency basis, with each LA bidding for places for their students in relevant institutions in other LAs, this has moved to a system where the LA that the institution is located in bids for places for all LAs. This is expected to result in a change in financial risks in that the home LA will become financially responsible for the purchase of any shortfall in places in an institution in its area, but will no longer need to fund a shortfall of places for their students in institutions located in other LAs. This position has yet to be confirmed between LAs but at this stage it is the expected outcome. This change relates to place funding only at maintained schools and FE Institutions. LAs will remain responsible for funding element 3 top up payments for resident students attending institutions in other LAs and the purchase of additional places in non-maintained specialist providers.

5.27 In terms of the total funding available in the 2015-16 High Needs Block, the EFA has confirmed an increase of £47m which has been distributed to LAs based on the 2 to 19 year old population in each area. BF will receive £0.109m from this allocation, which is in line with the £0.1m assumed on the update on High Needs cost pressures reported to the last Forum meeting.

- 5.28 On the basis of this information, the EFA has calculated an initial 2015-16 High Needs Block allocation for BF of £12.927m (£12.818m base funding plus £0.109m share of £47m growth money).
- 5.29 There remains one significant outstanding adjustment which is due to be confirmed in March but remained outstanding at the publication deadline for this report. This relates to deductions to be made for high needs places in relevant institutions, including those in resident academies. With the EFA rejecting the exceptional cases bid for extra DSG funded places, and adjusting for the 2015-16 full year effect of the academic year funding of places, the expectation is that the deduction in 2015-16 will be slightly lower than that applied in 2014-15 which suggests a deduction of around £1.208m, £0.054m less than the current year.
- 5.30 As previously reported, the number of places that the EFA will fund in relevant institutions is financed from an equivalent deduction to each individual LAs High Needs Block DSG. So the more places that are funded, the less money remains within the DSG to finance Element 3 top up payments.
- 5.31 Taking account of the assumptions set out above, the High Needs Block DSG is estimated to total £11.719m to which £2.093m of Schools Block DSG needs to be added as a consequence of the earlier decision in respect of use of Schools Block DSG income. There is also the remaining £0.017m balance in the Job Evaluation Reserve that is recommended is drawn down to part finance the £0.023m forecast cost to be incurred by Kennel Lane Special (KLS) School to pay the BF Supplement (equivalent to the Living Wage), making total available funds for High Needs costs of £13.829m, which is the amount that associated budgets need to be set at.

Proposed use of funding

- 5.32 In essence there are no changes proposed in the use of available funding from those reported to the Forum in January. The £2.093m of Schools Block DSG funding will be applied to the SEN specific contingency that is allocated in-year to qualifying BF mainstream schools (0.1m), placement costs for pupils and students attending specialist out of borough providers (£1.656m), a contribution to the SEN Unit Reserve (£0.055m) to fund start-up costs and to finance the 2014-15 reduction in DSG (£0.282m).
- 5.33 The previous report set out the expectation that savings of £0.2m could be made on the range of specialist and targeted support services which would then be added to the places budget, although at that stage precise areas for making the savings had yet to be determined. More work has now been undertaken on this with Annex 3 setting out the proposed budget adjustments.
- 5.34 In terms of profiling the other budget changes detailed above:
- 1 the £0.017m funding from the Job Evaluation Reserve (paragraph 5.31) needs to be added to the budget to pay KLS top-ups which will part fund the cost of the Living Wage;
  - 2 there £0.033m full year effect deduction in DSG for 2014-15 academic year place funding (paragraph 5.22) needs to be adjusted against the budget for specialist providers;

- 3 the £0.054m addition from a lower DSG deduction for places in 2015-16 (paragraph 5.29) needs to be adjusted against the budget for specialist providers;
- 4 the £0.109m addition for the BF share of £47m growth in the High Needs Block DSG needs to be adjusted against the budget for specialist providers (paragraph 5.27).

These changes aggregate to a net addition of £0.147m and the impact on individual budget lines is shown in the Annex 4 column titled "other changes".

- 5.35 In terms of Pupil Referral Units and the education of children otherwise than at school, no changes are proposed to current arrangements or budget allocations, other than those set out in Annex 3, where the budget changes relate to re-setting amounts to those expected to be required to meet anticipated demand.
- 5.36 The Forum is therefore recommended to agree this approach to setting the High Needs Block related budgets to the Executive Member and also confirm that as a consequence, appropriate arrangements are in place for the education of pupils with SEN and use of pupil referral units and the education of children otherwise than at school. Annex 5 identifies the resultant breakdown of the High Needs Block budget if the proposals in this report are agreed.

#### Monitoring spend on High Needs pupil

- 5.37 To reflect the significance of the cost increase on supporting High Needs pupils, and the requirement to deliver savings in future years, quarterly progress reports will be produced by the SEN Team for review by the Children, Young People and Learning Departmental Management Team and the Council's overall Corporate Management Team. This will track progress against the actions set out in the SEN cost report presented to the Forum at its last meeting and clearly show the financial impact on the current and future years anticipated spending. It will also report on any other significant matters. These updates will also be presented to the Schools Forum.

#### Next steps

- 5.38 The views of, and decisions taken by the Schools Forum at this meeting are expected to be adopted by the Executive Member in making final decisions for the 2015-16 Schools Budget.

## **6 ADVICE RECEIVED FROM STATUTORY AND OTHER OFFICERS**

### Borough Solicitor

- 6.1 The relevant legal issues are addressed within the main body of the report.

### Borough Treasurer

- 6.2 The financial implications arising from this report are set out in the supporting information. At this stage the amount of High Needs Block DSG has yet to be confirmed. If a funding shortfall does materialise, it will need to be dealt with through the introduction of a programme of in-year savings.

Equalities Impact Assessment

- 6.3 The budget proposals ensure funding is targeted towards vulnerable groups and an EIA is not required.

Strategic Risk Management Issues

- 6.4 The funding reforms, tight financial settlement and the demographic growth pressures present a number of strategic risks, most significantly:
1. Insufficient funding to cover increases in the required number of high needs places.
  2. Price increases by providers.
  3. The ability to absorb an increasing number of high needs pupils.
- 6.5 The additional funding in the Schools Block will be used to mitigate these risks and if costs exceed current estimates, further savings will need to be identified in year across the whole Schools Budget.

**7 CONSULTATION**

Principal Groups Consulted

- 7.1 None.

Background Papers

Previous budget reports to the Forum

Various DfE guidance notes and letters

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**Provider funding rates for 3 and 4 year olds  
(including eligibility criteria for supplements)**

<b><u>Funding rates - breakdown of hourly rate</u></b>	<b><u>Maintained Schools</u></b>	<b><u>PVI providers</u></b>
<b>Hourly base rate (minimum amount, no eligibility criteria)</b>	£3.17	£3.71
<b>Deprivation Supplement (where eligibility criteria met)</b>		
Band 3      Deprivation ranking within the 10% most deprived settings. Top up at 3 times the basic rate.	£0.32	£0.32
Band 2      Deprivation ranking below the 10% most deprived settings but still within the 35% of most deprived settings. Top up at 2 times the basic rate.	£0.21	£0.21
Band 1      Deprivation ranking below the 35% most deprived settings but still within the 60% of most deprived settings. Top up at basic rate.	£0.11	£0.11
Band 0      Deprivation ranking outside the 60% most deprived settings. No top up.	£0.00	£0.00
<b>Quality Supplement - as measured by workforce qualifications (where eligibility criteria met)</b>		
Band D      Qualified Teachers on Upper Pay Scale 2 or higher cost with 75% of staff at level 3 or above.	£0.48	£0.48
Band C      Graduate (level 5 or 6) leading the EYFS Practice and 60% of staff at level 3 or above.	£0.27	£0.27
Band B      Level 4 or above leading the Early Years Foundation Stage (EYFS) and 35% of staff with a level 3 or above	£0.21	£0.21
Band A      Other, lower qualification levels. No top up.	£0.00	£0.00
Maximum hourly rate	£3.97	£4.30
Minimum hourly rate	£3.17	£3.71
Average hourly rate	£3.62	£3.97

From April 2015, a Pupil Premium supplement will be paid at £0.53 per hour to eligible children.



## Early Years Block Budgets

Budget Item	2014-15 Budget £	2015-16 Changes £	2015-16 Budget £
<b>Free entitlement to early years education and childcare for 3 and 4 year olds:</b>			
<b>Maintained school nurseries</b>	£1,348,080	£44,370	£1,392,450
<b>PVI provider settings</b>	£2,760,020	-£166,790	£2,593,230
<b>Provider Contingency</b> – for in-year increases in take-up and other support to providers e.g. SEN children, providers in financial difficulty (3%)	£130,550	-£15,550	£1115,000
<b>Multi professional assessment centre</b> – Currently provided through contract with Action for Children, based at Margaret Wells Furby Children’s Centre	£156,850	£0	£156,850
<b>Free milk</b> – net cost of free milk to eligible children.	£11,210	£0	£11,210
<b>Special Educational Needs and other support</b> e.g. Special Educational Needs Co-ordinators.	£147,390	£0	£147,390
<b>Early Years Development Officer</b> funding for 1 fte development officer supporting early years providers in tracking and monitoring children’s early years progress to ensure school readiness.	£0	£35,000	£35,000
<b>Free entitlement to early years education and childcare for 2 year olds:</b>		£	
<b>Payments to providers (including SEN supplements) (1) and (2)</b>			
- Prior year adjustments (1) and (2)		£5,700	
- Estimated change in take-up	£782,200	-£147,740	£640,160
<b>Trajectory funding:</b> Outreach support, delivery of sufficient places, workforce development, publicity and marketing.	£104,000	-£76,000	£28,000
<b>Provider Contingency</b> – for in-year increases in take-up and other support to providers e.g. SEN children, providers in financial difficulty (reduce to 3% from 5%)	£35,000	-£35,000	£0
<b>Development of sufficient places</b> – convert revenue funding to capital (2)	£264,700	-£264,700	£0
<b>Early Years Pupil Premium</b>	£0	£63,710	£63,710
<b>Total Early Years Block Budget</b>	<b>£5,740,000</b>	<b>-£550,570</b>	<b>£5,183,000</b>

(1) £0.259m one-off balance brought forward from 2013-14 removed;

(2) £0.265m revenue funding used to develop sufficient places for 2 year olds in 2014-15 returned to finance payments to providers for 2 year olds in 2015-16.

Savings of £200k proposed against 2013-14<sup>(1)</sup> High Needs Budgets

Service	Current 2014-15 Budget £	Proposed Change Change £	Provisional 2015-16 budget £	Comment
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**SEN Provisions and Support Services**

Secondary Academies - SEN Units	50,000	-50,000	0	Paid direct to Ranelagh by EFA. DSG adjusted to reflect this.
BF academy Element 3 top up	105,000	-60,000	45,000	
BF schools Element 3 top up	660,000	-22,000	638,000	
Element 3 top up short term interventions	0	15,000	15,000	To prevent exclusions. Generally high cost for short period of time.
BF Primary Resource Units - Element 3 top up	54,050	13,000	67,050	
Non-BF schools Element 3 top up	950,000	-108,000	842,000	
SEN - share of Head Targeted Services	0	32,200	32,200	Previously approved by Forum, 12 September 2013.
Language and Literacy Service	113,610	-11,000	102,610	
Equipment for SEN Pupils	25,070	-5,000	20,070	
Medical support to pupils	16,660	25,000	41,660	
Paediatric Occupational Therapy in schools	51,300	-14,000	37,300	
Sensory Consortium	280,780	-20,600	260,180	
TASS Learning Support	32,830	-11,000	21,830	
SEN Tribunals	5,000	5,000	10,000	
TASS - Other Building Codes	13,000	-13,000	0	

<b>Total SEN Provisions and Support Services</b>	<b>2,357,300</b>	<b>-224,400</b>	<b>2,132,900</b>
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**Education out of School**

Home Tuition	220,460	-5,000	215,460	
Outreach work	99,130	-5,000	94,130	
EOTAS - Share of Head of Targeted Services	0	21,400	21,400	Previously approved by Forum, 12 September 2013.
Services from BFC	14,090	13,000	27,090	

<b>Total Education out of School</b>	<b>333,680</b>	<b>24,400</b>	<b>358,080</b>
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<b>TOTAL</b>	<b>2,690,980</b>	<b>-200,000</b>	<b>2,490,980</b>
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- (1) Current budget is 2013-14 approved amount. The 2014-15 budget profile was not updated due to the delay in announcing the High Needs Block DSG until after initial budget proposals were made by the Council and the subsequent £0.282m funding cut that prevented budget changes being approved as income was below expected spend and therefore preventing a balance budget.
- (2) Unless otherwise stated, all of the changes have been proposed on the basis that sufficient budget will remain to fund forecast future costs. However, these are demand led services that are subject to fluctuation at short notice.

## High Needs Block Budgets

Budget Item	2014-15 base budget	Schools Block Funding Transfer	£200k savings transfer	Other changes (1)	Initial 2015-16 Budget
Element 3 top up payments					
BFC maintained schools and academy	£819,050	£0	£-54,000	£0	£765,050
Non-BFC maintained schools	£950,000	£0	£-108,000	£0	£842,000
Kennel Lane Special School	£1,213,650	£0	£0	£17,000	£1,230,650
Other specialist providers - pre 16	£4,082,670	£-664,250	£200,000	£130,000	£3,748,420
Other specialist providers - post 16	£315,000	£2,320,250	£0	£0	£2,635,250
Specialist places					
Kennel Lane Special School	£1,850,000	£0	£0	£0	£1,850,000
BFC maintained schools	£292,000	£0	£0	£0	£292,000
BFC academy	£50,000	£0	£-50,000	£0	£0
Education out of school					
College Hall Pupil Referral Unit	£711,490	£0	£0	£0	£711,490
Home Tuition	£252,160	£0	£8,000	£0	£260,160
Family Outreach Work	£99,130	£0	£-5,000	£0	£94,130
Other support to high needs pupils					
Teaching and support services	£704,350	£0	£-55,600	£0	£648,750
Sensory Impairment services	£226,470	£0	£0	£0	£226,470
Autism support service	£84,000	£0	£0	£0	£84,000
Traveller education	£75,140	£0	£0	£0	£75,140
Medical support, specialist equip etc.	£146,010	£0	£64,600	£0	£210,610
SEN high needs contingency	£0	£100,000	£0	£0	£100,000
SEN Resource Unit	£0	£55,000	£0	£0	£55,000
2014-15 reduction in DSG	£-282,000	£282,000	£0	£0	£0
<b>Total DSG funded</b>	<b>£11,589,120</b>	<b>£2,093,000</b>	<b>£0</b>	<b>£147,000</b>	<b>£13,829,120</b>
<b>EFA sixth form grant for KLS</b>	<b>£412,170</b>	<b>£0</b>	<b>£0</b>	<b>£0</b>	<b>£412,170</b>
<b>Total gross funding</b>	<b>£12,001,290</b>	<b>£2,093,000</b>	<b>£0</b>	<b>£147,000</b>	<b>£14,241,290</b>

(1) Relates to £0.109m increase in DSG as share of £47m growth, £0.033m reduction due to full year effect of 2014-15 academic year places funding, £0.054m reduction in DSG places deduction, and £0.017m increase from the Job Evaluation Reserve to part fund the cost of the Living Wage at KLS. See paragraph 5.34).

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**TO: SCHOOLS FORUM**  
**DATE: 12 MARCH 2015**

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## **UPDATE TO THE SCHEME FOR FINANCING SCHOOLS** **Director of Children, Young People and Learning**

### **1 PURPOSE OF REPORT**

- 1.1 The purpose of this report is seek agreement to proposals to update the Scheme for Financing Schools in respect of:
- 1 The control on surplus school balances;
  - 2 The deadline to submit budget plans to the authority.

### **2 RECOMMENDATIONS**

- 2.1 **That the Maintained School Representatives of the Forum AGREE revisions to the Scheme for Financing schools, to be effective from 1 April 2015, in respect of:**
- 1 **The control on surplus school balances, as set out in Annex 1; and**
  - 2 **Subject to less than 10% of schools rejecting the proposed change, the deadline to submit budget plans to the authority, as set out in Annex 2.**

### **3 REASONS FOR RECOMMENDATIONS**

- 3.1 To reflect the wishes from schools, as expressed in the 2014 consultation and to ensure requirements surrounding the submission of budget plans adequately take account of all circumstances.

### **4 ALTERNATIVE OPTIONS CONSIDERED**

- 4.1 These were considered as part of the 2014 consultation.

### **5 SUPPORTING INFORMATION**

#### Background

- 5.1 Each LA is required to publish a Scheme for Financing Schools (the "Scheme"). This sets out the financial relationship between the LA and the maintained schools which it funds, so does not apply to academy schools. It is a legally binding document on both the LA and schools relating to financial management and associated issues.
- 5.2 The DfE issues statutory guidance to LAs in respect of minimum content of Schemes. Parts of Schemes must be in accordance with "directed scheme revisions" and are mandatory, for other elements of schemes, there is discretion to make

changes to reflect local circumstances. The statutory power to update discretionary parts of Schemes rests with maintained school representatives on the Schools Forum, but changes can only be made after a consultation with all governing bodies and head teachers.

- 5.3 The current Bracknell Forest Scheme was agreed by the Forum in November 2013. This report recommends changes are made in respect of the control on surplus school balances and the deadline for submission of budget plans.

#### Control on surplus school balances

- 5.4 The Scheme currently contains provision for where significant balances are not being held by a school for a valid purpose, a claw-back scheme would be applied to remove relevant amounts for re-distribution within the Schools Budget. This was based on the principle that generally speaking, the significant majority of annual funding should be spent on pupils in school that year and not held back unnecessarily.
- 5.5 Members of the Forum will recall that balances in excess of 5% for secondary or 8% for primary and special schools or Pupil Referral Units (PRU) have been defined as significant and that a range of valid purposes have been agreed that permit schools to retain surplus balances above these levels.
- 5.6 In general, schools in Bracknell Forest manage their finances well, spending the majority of funding in-year on current pupils, although average surplus balances continue to be slightly above the level expected to be required to manage unforeseen in-year changes and future pressures. However, there are a number of schools exceeding or approaching a surplus balance of 15% of annual income. Such levels were not anticipated when the criteria for the claw-back scheme was agreed.
- 5.7 The 2013-14 accounts show ten schools as holding a significant surplus which is unchanged compared to the end of 2012-13. Seven continue with a significant surplus for the third consecutive year. The aggregate level of significant surplus balances amounts to £1.251m, an increase of £0.107m (9.3%). This is 28% of the £4,452m total aggregate surplus balances.
- 5.8 Whilst there is no desire to claw-back money from schools, and none has been, there is still a responsibility to challenge those with the largest surpluses as to why more is not being spent now on the educational needs of pupils currently in schools. The Forum has widely debated this matter during the year and as part of the 2014 financial consultation with schools, requested views on potential changes. The responses from schools supported three amendments as follows, which the Forum agreed should be incorporated into the Scheme:
- 1 Removing the clause that schools losing money from the April 2013 funding reforms are excluded from the scheme. This clause was introduced to help schools manage any funding losses. However, based on 2013-14 data, there were 7 schools that lost from the funding reforms but had achieved significant surpluses within the scheme conditions with aggregate significant surplus balances of £1.114m. Responses from 17 schools (89% of respondents) supported removing this clause.
  - 2 Current 5% and 8% thresholds should continue to determine what is a significant surplus, but then apply an absolute cap to the level of a surplus balance that can be retained above these levels. The consultation

document proposed using double the current threshold, so potentially the higher of 16% of annual income or £0.150m for primary, special and PRUs or 10% for secondary schools. Based on 2013-14 budgets, this would equate to a maximum of between £0.150m and £0.376m for primary schools and £0.447m and £0.608m for secondary schools. The retention of money above this level would be conditional on individual cases made by schools to the Schools Forum, but the expectation would be that any significant surplus balance above the second threshold would be lost. Schools would be able to appeal the decision of the Forum to the relevant Director. Responses from 16 schools (84%) supported this proposal.

- 3 A more detailed and robust statement should be provided by schools seeking to retain balances above the 5% and 8% thresholds. This could include a statement showing a comparison of the original budget plan, in-year spend and an explanation to variances as to how a surplus has occurred. Detailed plans of what the surplus would be spent on and when could also be required. This would help the Forum to judge the appropriateness of individual significant surplus balances and the likelihood of the spending plans being implemented. All 19 schools commenting on this question (100%) supported this proposal.

5.9 To allow schools already retaining surplus balances above those proposed to be permitted by paragraph 5.8 (2) above, it is proposed that relevant schools have 2 financial years to manage balances down to the new limits.

5.10 Taking account of school views, the existing scheme text has been updated at Annex 1 which the Forum is recommended to approve and to become effective from 1 April 2015.

#### Submission of budget plans

5.11 In reviewing the current Scheme, it has become apparent that a further change is required. This relates to the requirement that by 31 May each year, schools submit a balanced budget plan, as approved by the relevant governor committee. Whilst this requirement will be valid for the majority of schools, for those in discussion with the LA relating to a loan agreement or other financial support that requires approval of the Schools Forum, it will not always be possible to meet this deadline due to the time required to obtain the relevant decision. A change is therefore proposed to the existing text in order to allow the LA to extend the submission deadline to no later than 31 July. This would only be where a budget plan is being formulated that requires approval of the Schools Forum, which would normally take place in June or July. Annex 2 sets out the proposed revised text relating to this aspect of the Scheme.

5.12 As the DfE requires consultation with schools and governing bodies before the Forum makes a change to the Scheme, it is proposed to undertake an email consultation on the recommended revision, for comments on the proposed wording to be received by 31 March.

5.13 In order for Governing Bodies seeking financial support from the Forum in setting their budgets to have sufficient time to formally approve the plan after the relevant decision of the Forum has been made, the Forum is recommended to agree the revised Scheme text as set out in Annex 2, and that it becomes effective from 1 April 2015, provided less than 10% of schools reject the proposed revision.

## **6 ADVICE RECEIVED FROM STATUTORY AND OTHER OFFICERS**

### Borough Solicitor

6.1 The relevant legal issues are addressed within the body of the report.

### Borough Treasurer

6.2 The Borough Treasurer is satisfied that no significant financial implications arise from this report.

### Equalities Impact Assessment

6.3 None identified.

### Strategic Risk Management Issues

6.4 None identified.

## **7 CONSULTATION**

### Principal Groups Consulted

7.1 Schools have previously been consulted on making amendments to the scheme to control surplus school balances.

### Method of Consultation

7.2 Written consultation.

### Representations Received

7.3 Included in relevant reports.

### Background Papers

None.

### Contact for further information

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### Doc. Ref

G:\Executive\Schools Forum\71) 120315\Update to the scheme to claw back significant surplus balances.docx



### Control on surplus school balances

Text proposed to be deleted is struck through i.e. ~~deleted~~

New text is in bold and shaded i.e. **bold and shaded**

Normal text indicates the wording for the BFC Scheme. Words in *italics* are offered as an explanation to the Scheme text and are not part of the Scheme.

#### Controls on surplus balances

Surplus balances held by schools as permitted under this scheme are subject to the following restrictions:

- a. the Authority shall calculate by 30 June each year the surplus balance, if any, held by each school as at the preceding 31 March. For this purpose the balance will be the recurrent balance as defined in the Consistent Financial Reporting Framework;

*Balances **on** Devolved Formula Capital and any other specific grant funded activities are excluded, unless allowed for in the relevant grant conditions.*

- b. the Authority shall deduct from the calculated balance any amounts for which the school has a prior year commitment to pay from the surplus balance from the previous financial year;

*In this context, a prior year commitment is defined as a project previously agreed with the Authority to be excluded from the claw-back calculation, for example, capital building and construction projects – see c.i to viii below for full criteria to be used to establish a valid commitment against a surplus balance.*

- c. the Authority shall then deduct from the resulting sum any amounts which the governing body of the school has declared to be assigned for specific purposes permitted by the authority, and which the authority is satisfied are properly assigned. To count as properly assigned, amounts must not be retained beyond the period stipulated for the purpose in question, without the consent of the Authority. In considering whether any sums are properly assigned the Authority may also take into account any previously declared assignment of such sums but may not take any change in planned assignments to be the sole reason for considering that a sum is not properly assigned. **Schools will be required to provide relevant information to support funds assigned for a specific purpose, in a format prescribed by the authority.** [paragraph 5.8 (3) refers]

The criteria to consider whether sums are properly assigned are as follows:

- i. Capital building and construction projects
- ii. Furniture, IT and other one-off expenditure of a capital nature
- iii. Infrastructure, maintenance and refurbishment
- iv. Staffing remodelling and restructuring
- v. Specific curriculum resources
- vi. Balances held in respect of pupil focused extended activities
- vii. Money held to fund budget deductions known to be occurring in the next financial year e.g. fall in pupil numbers.
- viii. Other high cost activities, of a long term nature, agreed in advance with the Director of Children, Young People and Learning and the Schools Forum.

~~In October 2012, the Schools Forum agreed another criteria where funds could be properly assigned as follows:~~

- ~~ix. Those schools losing money at April 2013 through the funding reforms be allowed to retain any significant surplus balance without a valid reason until 31 March 2015. [paragraph 5.8 (1) refers].~~

*The conditions outlined here are intended to ensure schools can build up reserves towards particular projects but cannot defer implementation indefinitely. A change in the plans of a school is not allowed to be the only criterion by which a sum can be considered to be properly assigned or not. After the accounts are closed each year, the Authority will contact schools with significant surplus balances to agree whether any of the balance has been properly assigned for a specific purpose and can therefore be deducted from the claw-back calculation.*

*The above specified criteria have previously been approved by the Schools Forum following consultation with schools where they were supported by the vast majority of respondents.*

- d. if the result of steps a-c is a sum greater than 5% of the current year's budget share for secondary schools, 8% for primary and special schools and **Pupil Referral Units (PRUs)**, then the Authority shall deduct from the current year's budget share an amount equal to the excess.
- e. the calculation will be made against the final budget for the year in question i.e. after any contingency funding, significant in-year pupil growth allocation etc. The deduction will be made annually in arrears i.e. the final balance at 2011-12 calculated against the final budget for 2011-12 (known around June 2012) will be deducted at the start of the 2013-14 financial year.

*This paragraph has been added to make clear that the calculation will be made against final and not initial budgets. It is also proposed to delay any claw-back for one year to allow relevant schools time to plan for the change when setting subsequent budgets.*

- f. **Any amount proposed by a school that relates to an assigned amount of the surplus, as calculated at step c above shall be limited to no more than 5% of the current year's budget share for secondary schools and 8% for primary and special schools and Pupil Referral Units (PRUs) i.e. is limited to the same amount that schools may retain without assignment.** [paragraph 5.8 (2) refers]
- g. **Should any school wish to retain a higher surplus than permitted in step f above, the Schools Forum will consider each referral on a case by case basis, taking account of the merits of each individual proposal based upon the submission made by the school.**
- h. **An appeal against a decision by the Forum in step g. can be made to the relevant Director. The Director's determination will be final.**
- i. **Where, at 31 March 2014, a school holds a surplus balance in excess of step f, this can be retained until 31 March 2017 without specific approval of the Forum.**

Funds deriving from sources other than the Authority will be taken into account in this calculation if paid into the budget share account of the school, whether under provisions in this scheme or otherwise.

The total of any amounts deducted from schools' budget shares by the Authority under this provision are to be applied to the Schools Budget of the Authority.

## Annex 2

### Extract from the Scheme for Financing Schools

New text is in bold and shaded i.e. **bold and shaded**

#### 2.3 Submission of budget plans

Governing bodies must prepare and formally adopt a budget plan which reconciles with their total budget allocation as notified by the authority, plus/minus an estimate of any brought forward balance from the previous year. This budget plan must be formulated having regard to known facts and a realistic assessment and financial provision for future events. To assist schools in this process, the authority shall provide schools with a guide to budgets at the time that they are notified of their delegated budgets. Budget plans must be approved by the relevant committee of the Governing Body and notified to the authority by May 31 of the financial year to which the budget relates in a style and a format determined by the authority. A copy of relevant minutes must also be supplied by the end of that calendar year. These minutes should specify the total net planned expenditure agreed for the delegated budget.

The governing body must also prepare details of any assumptions that underpin the budget plan and submit these if requested. This could include further schedules, such as a listing of all employees, together with their individual costs. Such requests will only be made where there is doubt that a realistic budget has been submitted with the governing body being required to supply requested information within one month.

To aid schools in their budget planning process, the authority undertakes to supply all income and expenditure data which it holds that is necessary for efficient planning by schools. This will ordinarily be in the form of monthly cost centre reports where schools use the authority's financial accounting systems, or annual financial statement, if a school chooses to use financial accounting systems other than those available through the authority.

**There is one exception to the requirement on the relevant committee of the Governing Body to notify the authority by 31 May of their budget plan and this relates to where the Governing Body is in discussion with the LA relating to a loan agreement or other financial support that requires approval of the Schools Forum. In such circumstances, it will not always be possible to meet this deadline until formal decisions are taken by the Schools Forum, which is normally in June or July. Where the authority considers it unreasonable for a Governing Body to meet the 31 May submission deadline, an alternative submission deadline will be set by the relevant Director, which will be no later than 31 July. A copy of relevant minutes must still be supplied by the end of that calendar year. These minutes should specify the total net planned expenditure agreed for the delegated budget.**

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**TO: SCHOOLS FORUM**  
**DATE: 12 MARCH 2015**

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**2014-15 FUNDING ALLOCATIONS TO SCHOOLS FROM BUDGETS  
CENTRALLY MANAGED BY THE LA AND OTHER RELATED MATTERS  
Director of Children, Young People and Learning**

**1 PURPOSE OF REPORT**

- 1.1 The purpose of this report is to present information to the Schools Forum on the in-year allocation of funds to schools through School Specific Contingencies and other centrally managed budgets that are funded from the Dedicated Schools Grant (DSG) and in the first instance centrally managed by the council.
- 1.2 Additionally, a request for a funding allocation to Warfield CE Primary School in 2015-16 is being made to support the Council's school places expansion programme.

**2 RECOMMENDATIONS**

**The Forum:**

**2.1 NOTES the following funding allocations to schools, made in accordance with approved policies, in respect of;**

- 1. significant in-year increases in pupil numbers (paragraph 5.15);**
- 2. schools required to meet the Key Stage 1 Class Size regulations (paragraph 5.19);**
- 3. new and expanding schools (paragraph 5.20);**
- 4. those with a disproportionate number of SEN pupils (paragraph 5.23);**
- 5. support to schools in financial difficulties (paragraphs 5.29 to 5.32).**

**2.2 AGREES:**

- 1 an initial exceptional funding allocation of up to £15,000 for The Pines Primary School (paragraph 5.8);**
- 2 that a similar approach to funding the Pines Primary School is taken in future years, until the refurbished accommodation is fully occupied (paragraph 5.7);**
- 3 whether any changes need to be made to the existing criteria used to distribute centrally managed funds to schools (paragraph 5.33);**
- 4 that £12,000 is allocated to Warfield Primary CE School in 2015-16 to support the planning and preparation work required for the school to expand by 1 FE for September 2016 (paragraph 5.37).**

### **3 REASONS FOR RECOMMENDATIONS**

- 3.1 To ensure that the Schools Forum supports how contingency funds have been allocated to schools and is aware of the total amount involved.

### **4 ALTERNATIVE OPTIONS CONSIDERED**

- 4.1 These were considered as part of the budget setting process, including not setting aside contingency funds.

### **5 SUPPORTING INFORMATION**

#### Background

- 5.1 Members of the Forum will be aware that the funding framework for schools is regulated by the Department for Education (DfE) and that this governs the conditions attached to how funds can be allocated to schools. It also sets out the circumstances in which funds can be centrally managed by LAs and how in-year allocations can be determined.
- 5.2 As part of the budget setting process, the Forum agreed that the following six budgets should initially be managed by the LA, for in-year allocation to schools, once approved qualifying criteria is met:
1. exceptional and unforeseen costs in primary schools;
  2. significant in-year increases in pupil numbers;
  3. schools required to meet the Key Stage 1 Class Size regulations;
  4. new and expanding schools;
  5. SEN specific contingency;
  6. support to schools in financial difficulties.

In accordance with the funding framework, items 1 – 5 above are held as centrally managed budgets, following agreement of the Schools Forum. Item 6 is a de-delegated budget, initially included in the Funding Formula for Schools, but returned from community schools for central management, again after agreement of the Schools Forum.

- 5.3 This annual report is presented to the Forum to confirm individual funding allocations and to provide an opportunity to review the relevant funding policies.

#### Contingency allocations - £472,040 total budget

#### Exceptional and unforeseen items - £10,000 budget

- 5.4 Where a primary school faces exceptional, unexpected costs in-year that were not known when the budget was set and it would be unreasonable to expect the school to meet the costs, bids for additional funding can be sought. The Forum has previously agreed that claims are considered on a case by case basis by the Heads of Service covering Finance, Human Resources and Property before formal consideration by the Forum.
- 5.5 One claim was received during 2014-15 relating to additional site costs associated with the expansion of the Pines Primary School where the Primary Professional

## Unrestricted

Centre has been returned to school use to accommodate current and future increases in pupil numbers. The school is occupying the refurbished accommodation on a phased basis, meaning premises related costs are currently being incurred for a building that is significantly larger than required.

- 5.6 A provisional statement of costs has been received from the school that covers premises running costs including utilities, grounds maintenance, caretaking and repairs and maintenance. This shows full year costs for the newly refurbished area of around £35,000. Of the relevant area, School Nurses occupy around 15% of the accommodation, the school around 30%, with the remaining 55% yet to be regularly used.
- 5.7 The officers considering this case agreed that this is an exceptional item and it would be unreasonable to expect the school to meet the full costs. In deciding the level of additional financial support that should be awarded the officers concluded that in these circumstances, where the school is using the accommodation on a phased basis as more pupils are admitted, it is reasonable to receive a funding top up equivalent to the additional costs, after taking account of rental income received from the School Nurses and an appropriate share of the per pupil funding (Age Weighted Pupil Unit, deprivation funding etc) received for children in the new accommodation. For consistency and predictability of funding for the school, it is recommended that this approach is applied in future years until the newly refurbished accommodation is fully occupied.
- 5.8 Taking account of the above, in this particular case, the officers recommend that the school is allocated an initial £15,000 from the contingency. This amount to be subject to update in light of final account actual expenditure for the newly refurbished buildings and any further comments from the school or new matters that come to light during the early stages of occupation. The final allocation of funds will not exceed £15,000 and will be reported to the Forum once it has been determined. This will be after the 2014-15 accounts have closed.
- 5.9 Claims from secondary schools are not ordinarily considered as there is an expectation that in-year changes can be managed from their higher level of resources, although bids can still be submitted for consideration on a case by case basis.

### Significant in-year increases in pupil numbers - £305,040 budget

- 5.10 To provide in-year financial support to schools experiencing significant increases in pupil numbers, LAs are permitted to retain funding in a contingency for allocation once qualifying criteria is met. This reflects the requirement of the DfE to calculate school budgets on actual pupil numbers which means there is no recognition of future increases which in some cases will have a significant impact on costs.
- 5.11 To provide additional resources to schools facing in-year increases, the Schools Forum has agreed that funding allocations should be made where there is a significant increase in pupils between the census point used for funding school budgets and the actual intake at the start of the next academic year, with the funding threshold set at increases of 20 and above.
- 5.12 Forum members will recall that it has been agreed to amend the funding policy with effect from the 2015-16 financial year. From this point, relevant thresholds for additional funding will be set at different levels for different sized schools to reflect the

## Unrestricted

varying ability to absorb increases in pupil numbers and the expected level of cost increase. The new thresholds and funding levels will be:

- less than 2 FE schools = increase of 10 pupils, at half the core funding rate
- 2 FE schools = increase of 20 pupils, at the core funding rate
- 3 FE and above schools = increase of 25, at the core funding rate

- 5.13 Admitting additional pupils at these levels is considered the point at which relevant schools would most likely experience significant cost increases. The general expectation is that schools can absorb additional pupils up to these numbers without having to incur any significant cost increases.
- 5.14 The core funding allocation is based on the cost of employing a Teacher at Main Scale Point 6 for the autumn and spring terms only. This is a short term funding measure as on-going funding beyond this point would be included in the next year's budget as relevant pupils would be on the October census used for funding purposes and therefore taken into account in the initial budget calculation. The relevant qualifying criteria used to calculate additional funding, as approved by the Forum and DfE, are set out in Annex 1 for both the current year, and the new policy that will be in place from 2015-16.
- 5.15 Based on actual changes in pupil numbers, 7 schools received additional funding, which aggregated to £187,120. Annex 2 sets out individual school allocations and other relevant data.

### Schools required to meet the Key Stage 1 Class Size regulations - £87,000 budget

- 5.16 In a similar way to which funds can be retained for allocation in year to schools experiencing significant increases in pupil numbers, LAs are also permitted to create a contingency to allocate funds to support schools facing additional costs to ensure Key Stage 1 class size regulations to limit classes to no more than 30 pupils per teacher are not breached. Again, this allows the targeting of funds to schools facing real cost pressures that the Funding Formula is not permitted to deal with.
- 5.17 The Forum has agreed that where the aggregate number of Key Stage 1 pupils does not equate to a multiple of 30, additional resources will be added at the amount required to cover the cost of appointing a Teacher on Main Scale Point 6 for the relevant period, after taking account of the funding delivered through the Funding Formula. Top up funding is provided on a "missing pupil" basis and is calculated at the amount required to meet teacher costs only. Based on the current values in the Funding Formula, 14 pupils deliver sufficient resources to employ a teacher. Therefore, the maximum top-up funding a school can receive is for 14 'missing' pupils.
- 5.18 To avoid double funding, if the same pupils result in schools receiving funding through the *significant in-year increase in pupil numbers* category then any Key Stage 1 specific funding is disallowed. The relevant qualifying criteria are set out in Annex 3.
- 5.19 Based on actual changes in pupil numbers for the 2014 summer and autumn terms, and provisional numbers for the spring term 2015, 6 schools are entitled to additional funding, which aggregates to £55,422. Annex 4 sets out individual school allocations and other relevant data.



New and expanding schools - £70,000 budget

- 5.20 A specific budget has also been agreed to support new and expanding schools, which specifically relates to Jennett's Park Primary School. Top up funding has been set aside to reflect the special circumstances arising from a rapid increase in roll from a 1 form of entry school to 2 forms of entry as the DfE does not allow the increase in pupil numbers to be reflected in the initial budget. Based on the assessed additional costs that the school would face, on 17 July 2014, the Forum agreed that £77,000 should be allocated. This allocation is reported again for completeness.

SEN specific contingency - £100,000 budget

- 5.21 The DfE encourages LAs to allocate additional resources to schools that admit a disproportionate number of pupils with SEN with a clear expectation that this will affect only a minority of schools. The rationale of the contingency is that the normal operation of the simplified Funding Formula does not adequately resource schools for all costs when there is a large concentration of high needs pupils.
- 5.22 There is no prescribed methodology on how such a fund should work and the scheme agreed by the Forum following the annual consultation process requires schools to meet both of the following criteria:
1. Where the proportion of pupils on roll classified as high need exceeds 4% of total pupil numbers in a primary school and 2% in a secondary school, and
  2. Where the proportion that top up funding paid to support High Needs pupils compared to the total budget allocated via the BF Funding Formula exceeds 2% in a primary school and 1% in a secondary school.
- 5.23 This resulted in 3 secondary schools receiving additional funding allocations that totals £73,700 with Annex 5 setting out individual school allocations and other relevant data.

Support to schools in financial difficulties - £283,220 budget

- 5.24 School Funding Regulations allow for additional funds outside the normal operation of the Funding Formula to be provided to schools considered to be in financial difficulty. In agreement with the Schools Forum, this de-delegated budget has been returned to the Council for central management. The agreed criteria to be used to allocate this funding is if, in the opinion of the Director of Children, Young People and Learning and the Borough Treasurer, a school:
1. was unable to set a balanced budget and were in need of a loan arrangement at the start of the relevant financial year, and/or
  2. was likely to fall into one of the categories of causing concern, including requires improvement and special measures without additional financial support.
- 5.25 In order to allow funds to be allocated within an appropriate time scale, the Forum has agreed to delegate a set of powers to the Director of Children, Young People and Learning to allocate funds up to but not exceeding £150,000 in any financial year, dependent on the Ofsted category of the school, or where there is considered a risk of being placed in a category. Any such allocations would subsequently be reported to the Schools Forum for information.

- 5.26 The level of allocation of funds would be:
- a. schools judged to be requiring improvement (up to £20k per year)
  - b. schools at risk of being judged to be inadequate and in need of Special Measures (up to £30k per year)
  - c. schools deemed to be inadequate and in need of Special Measures (up to £50k per year)
- 5.27 Where schools enter an Ofsted category of concern, the LA establishes a Management Intervention Board (MIB). The Board has an independent chair and senior officers of the LA as members. The headteacher and Chair of Governors of the school also attend the MIB to report on progress. A support plan outlines the actions to be taken by the school and the LA in order to effect rapid improvement. Where the school is unable to fund these actions from its own delegated budget the MIB can request that additional resources be sought. Any such requests are approved by the Director of Children, Young People and Learning.
- 5.28 For schools that are not in an Ofsted category but where additional LA support is deemed to be necessary a Standards Monitoring Board (SMB) can be established of which the headteacher and Chair of Governors attend. The boards meet regularly to discuss progress and determine with the school where additional resources might be required. Requests for additional resources are subject to the approval of the Director of Children, Young People and Learning. Schools operating Standards Monitoring Boards remain confidential, due to the sensitive nature of the activity.

Allocations agreed under powers delegated to the Director

- 5.29 Under these delegated powers, the Director has agreed additional financial support to 2 schools, totalling £10,020.

Easthampstead Park Secondary School - £7,540

- 5.30 The school was awarded an Ofsted judgment of Requires Improvement in June 2014 and the LA is supporting the school in making the required improvements. To support the requirements of the Ofsted action plan, additional funding has been approved to develop the senior management team, general staff training and undertake a review of the IT infrastructure.

St Michael's (Sandhurst) Primary School - £2,480

- 5.31 The school was awarded an Ofsted judgment of Requires Improvement in July 2013 and the LA is supporting the school in making the required improvements. 90% of teaching is now judged to be at least good and standards are rising in writing. However, to ensure continued improvement in particular at Years 5 and 6 funding for additional teaching support and associated resources has been agreed.

Allocations agreed by the Schools Forum

Brakenhale - £158,800

- 5.32 Members will recall that the 15 January meeting approved a 2 year allocation of funds to Brakenhale to support recovery from Requires Improvement category, with £158,800 allocated for 2014-15. This allocation is reported again for completeness only.

Qualifying criteria used to make funding allocations

- 5.33 To ensure that a consistent and transparent approach is adopted to the allocation of contingency funding to schools, the Forum has agreed a set of eligibility criteria to be applied, and these are attached as annexes to the report. The Forum is requested to consider whether any changes now need to be made. Relevant policies are included in annexes 1, 3, and 6.

Funding proposal for 2015-16 financial year

- 5.34 In response to the anticipated on-going increase in pupil numbers, the Forum is aware that the Council is undertaking a significant capital programme to deliver new school places without which there would be insufficient places to meet demand. A detailed report on proposed schemes and their current status was presented to the Forum for information in July 2014 which showed that based on current expectations, over £100m of investment would be required by 2022.
- 5.35 Work has now significantly progressed on the Warfield West scheme which involves a proposed housing development by Berkley Homes that is expected to construct 690 new dwellings. This would yield between 1 and 2 FE of additional primary pupils, and an agreement has been reached through the Section 106 process for the developer to provide a 2 FE site and school buildings with the council's financial responsibility limited to fitting out the new buildings and ensuring the design proposals and construction work meet the Council's requirements. The expectation is that a 1 FE primary school will be open at September 2016 rising to a 2 FE in September 2018, subject to house build targets being met.
- 5.36 Agreement has also been reached with the governors of Warfield CE Primary School to include the new construction as an expansion to the existing school meaning that once complete, the school will be located on two different sites. This is the first development of this type that the Council has undertaken, and falls between a brand new school with no existing set up i.e. like the new school at Jennett's Park that required recruitment and funding for a new headteacher prior to opening, and expansion of an occupied school with a headteacher and support structure on site i.e. Crown Wood, where the school could manage their involvement in the project prior to completion, from within existing resources.
- 5.37 Having considered the specific circumstances of this project and the complications that arise from involving two sites, the Council believes that the school will need to allocate an extra 2 days a week of senior staff time to assist with a successful outcome. The Forum is therefore recommended to agree that £0.012m is allocated to Warfield CE Primary School for this purpose, for the period January to March 2016. There is no specific budget provision set aside in the New and Expanding Schools contingency, so the cost will need to be funded from in-year savings against other contingency budgets which have tended to under spend in previous years.
- 5.38 The overall Schools Budget for 2016-17 will need to include provision for the running costs of the expanded Warfield CE Primary School, and proposals for the approach to be taken will be presented to the Forum in July.

Conclusion

- 5.39 The funds approved by the Forum to be held by the LA allow for appropriate in-year targeting of resources that is not possible through the simplified Funding Formula for Schools. Current arrangements are considered appropriate and ensure that financial

support is provided when needed and that clear and consistently criteria is applied in the allocation of resources. Based on current estimates, a total of £0.577m will be allocated to schools, which is £0.278m below budget and mainly arises from an under allocation of the budget to support schools experiencing significant in-year growth and those in financial difficulty where required levels of support are difficult to predict but can involve substantial sums of money. The anticipated unspent budget will need to be used to partially fund other over spendings in the Schools Budget, in particular, those relating to high needs pupils.

## **6 ADVICE RECEIVED FROM STATUTORY AND OTHER OFFICERS**

### Borough Solicitor

- 6.1 The relevant legal issues are addressed within the main body of the report.

### Borough Treasurer

- 6.2 The financial implications arising from this report are set out in the supporting information. The allocations meet the requirements of the appropriate funding regulations, the agreed policies and have been taken into account in the financial monitoring arrangements for the Schools Budget.

### Equalities Impact Assessment

- 6.3 None identified.

### Strategic Risk Management Issues

- 6.4 None identified.

## **7 CONSULTATION**

### Principal Groups Consulted

- 7.1 Schools and the Schools Forum have previously been consulted on the wording of eligibility criteria to be used on these contingency funds.

### Method of Consultation

- 7.2 Written consultation.

### Representations Received

- 7.3 Included in relevant reports

### Background Papers

Relevant policy extracts have been added as annexes

### Contact for further information

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**Criteria for in-year budget allocations to schools experiencing significant growth in pupil numbers**

**FOR USE IN 2014-15 ONLY**

The School Specific Contingency shall include funding for an allocation to those schools that experience exceptional increases in pupil numbers between the October census used for funding original budgets and actual pupil numbers on roll on the following October census

To assist schools in meeting the additional costs arising in such circumstances, an in-year budget addition will be made where the whole school number on roll from Reception up to Year 11 increases up to the point that a new teacher needs to be appointed. An increase of 20 pupils has been established as the relevant threshold point at which additional funding would be allocated. A second allocation would be made should numbers increase by 40 and so on, with further funding allocations for each additional increase above the 20 threshold.

The amount of additional funding is calculated from the cost of appointing a teacher on Mainscale Point 6 – salary and employer on-costs - for the period September to March.

There is one exception to this general rule. This relates to schools that agree with the LA to open a 'surge' class – i.e. one additional class to accommodate up to 30 additional pupils – where additional funding will be allocated irrespective of the actual number of pupils admitted, if the pupils in the 'surge' class are admitted after the census used for funding purposes. The funding allocation will be calculated in the same way as for general in-year growth, applied from the beginning of the term that the 'surge' class is open, [*i.e. rather than against the number of months the 'surge' class is open*].

Where a 'surge' class opens after the census point used for calculating the school's budget for the next financial year, a further funding top up will be made to cover the full year cost of a teacher on Mainscale Point 6 and a Learning Support Assistant on Bracknell Forest pay point 12 for the relevant financial year. This funding will be made available for one year only at the commencement of the relevant financial year.

The allocated funding may need to be scaled if demand significantly exceeds the budget allocation, with final decisions to be determined each year by the Schools Forum.

**Approved by the Schools Forum on 16 September, 2013.**

## **Criteria for in-year budget allocations to schools experiencing significant growth in pupil numbers**

### **FOR USE FROM APRIL 2015**

The School Specific Contingency shall include funding for an allocation to those schools that experience exceptional increases in pupil numbers between the October census used for funding original budgets and actual pupil numbers on roll on the following October census

To assist schools in meeting the additional costs arising in such circumstances, an in-year budget addition will be made where the whole school number on roll from Reception up to Year 11 increases up to the point that significant additional costs are expected to be incurred.

The relevant thresholds for additional funding are:

- less than 2 FE schools = 10
- 2 FE schools = 20
- 3 FE and above schools = 25

With the exception of less than 2 FE schools, the amount of additional funding is calculated from the cost of appointing a teacher on Mainscale Point 6 – salary and employer on-costs - for the period September to March.

Less than 2 FE schools will be funded at half the value of other schools sizes, to reflect the lower additional costs expected to be incurred i.e. it is not expected that such schools would ever need to open a new class and recruit a new teacher.

There is one further exception to this general rule. This relates to schools that agree with the LA to open a 'surge' class – i.e. one additional class to accommodate up to 30 additional pupils – where additional funding will be allocated irrespective of the actual number of pupils admitted, if the pupils in the 'surge' class are admitted after the census used for funding purposes. The funding allocation will be calculated in the same way as for general in-year growth, applied from the beginning of the term that the 'surge' class is open, [i.e. rather than against the number of months the 'surge' class is open].

Where a 'surge' class opens after the census point used for calculating the school's budget for the next financial year, a further funding top up will be made to cover the full year cost of a teacher on Mainscale Point 6 and a Learning Support Assistant on Bracknell Forest pay point 12 for the relevant financial year. This funding will be made available for one year only at the commencement of the relevant financial year.

The allocated funding may need to be scaled if demand significantly exceeds the budget allocation, with final decisions to be determined each year by the Schools Forum.

**Approved by the Schools Forum on 27 November, 2014.**

**2014-15 Funding allocations to schools experiencing significant growth in pupil numbers**

School	Number of Forms of entry	Headcount October 2013	Headcount October 2014	Change in NOR	No. of extra classes for Growth / Surge	Growth allocation	Surge class allocation	Change in NOR
Ascot Heath Infant	2.5	207	202	-5	0	£0	£0	-2.42%
Ascot Heath CE Junior	2	239	241	2	0	£0	£0	0.84%
Binfield CE Aided Primary	2	410	419	9	0	£0	£0	2.20%
Birch Hill Primary	2	388	403	15	0	£0	£0	3.87%
College Town Infant and Nursery	3	213	226	13	0	£0	£0	6.10%
College Town Junior	3	282	261	-21	0	£0	£0	-7.45%
Cranbourne Primary	1	202	205	3	0	£0	£0	1.49%
Crown Wood Primary	3	426	467	41	2	£46,780	£0	9.62%
Crowthorne CE Primary	1	209	209	0	0	£0	£0	0.00%
Fox Hill Primary	1	193	196	3	0	£0	£0	1.55%
Great Hollands Primary	2	367	379	12	0	£0	£0	3.27%
Harmans Water Primary	3	624	649	25	1	£0	£23,390	4.01%
Holly Spring Infant and Nursery	3	282	281	-1	0	£0	£0	-0.35%
Holly Spring Junior	3	248	277	29	1	£23,390	£0	11.69%
Jennetts Park Primary	2	251	294	43	0	£0	£0	17.13%
Meadow Vale Primary	3	503	537	34	1	£23,390	£0	6.76%
New Scotland Hill Primary	1	206	210	4	0	£0	£0	1.94%
Owlsmoor Primary	2.5	500	536	36	1	£23,390	£0	7.20%
The Pines Primary and Nursery	2	199	231	32	1	£23,390	£0	16.08%
Sandy Lane Primary	3	638	628	-10	0	£0	£0	-1.57%
St Joseph's Catholic Primary	1	210	209	-1	0	£0	£0	-0.48%
St Margaret Clitherow Catholic Primary	1	206	207	1	0	£0	£0	0.49%
St Michael's Easthampstead CE	1	241	241	0	0	£0	£0	0.00%
St Michael's CE Aided Primary (Sandhurst)	1	203	195	-8	0	£0	£0	-3.94%
Uplands Primary	1	211	210	-1	0	£0	£0	-0.47%
Warfield CE Primary	1	209	210	1	0	£0	£0	0.48%
Whitegrove Primary	2	444	445	1	0	£0	£0	0.23%
Wildmoor Heath	1	181	190	9	0	£0	£0	4.97%
Wildridings Primary	2	369	402	33	1	£23,390	£0	8.94%
Winkfield St Mary's CE Primary	1	207	208	1	0	£0	£0	0.48%
Wooden Hill Primary and Nursery	1.5	325	335	10	0	£0	£0	3.08%
The Brakenhale	7	852	816	-36	0	£0	£0	-4.23%
Easthampstead Park Community School	8	694	692	-2	0	£0	£0	-0.29%
Edgbarrow	7	1,047	1,046	-1	0	£0	£0	-0.10%
Garth Hill College	9	1,333	1,344	11	0	£0	£0	0.83%
Ranelagh CE	5	773	774	1	0	£0	£0	0.13%
Sandhurst	7	843	836	-7	0	£0	£0	-0.83%
<b>Total Primary</b>	<b>59</b>	<b>9,393</b>	<b>9,703</b>	<b>310</b>	<b>8</b>	<b>£163,730</b>	<b>£23,390</b>	<b>3.30%</b>
<b>Total Secondary</b>	<b>43</b>	<b>5,542</b>	<b>5,508</b>	<b>-34</b>	<b>0</b>	<b>£0</b>	<b>£0</b>	<b>-0.61%</b>
<b>TOTAL Primary and Secondary</b>	<b>102</b>	<b>14,935</b>	<b>15,211</b>	<b>276</b>	<b>8</b>	<b>£163,730</b>	<b>£23,390</b>	<b>1.85%</b>



**Criteria for in-year budget allocations to schools to meet unavoidable costs arising from the Key Stage 1 class size regulations that limit classes to no more than 30 pupils per teacher**

The School Specific Contingency shall include funding for an allocation to those schools that experience unavoidable costs arising from the Key Stage 1 class size regulations that are not resourced through the Funding Formula.

Numbers in reception, Year 1 and Year 2 will be collected termly from the relevant school census to determine the total number of pupils in each school affected by the relevant Regulations. Where the aggregate number of pupils does not equate to a multiple of 30, additional resources will be added at the amount required to cover the cost of appointing a teacher on Mainscale Point 6 – salary and employer on-costs - for the relevant period, after taking account of the funding delivered through the Funding Formula. Funding will be added on a “missing pupil” basis.

The allocated funding may need to be scaled if demand significantly exceeds the budget allocation, with final decisions to be determined each year by the Schools Forum.

An illustration of the funding calculation is as follows which would need to be updated each year to reflect budget decisions and the cost of employing a teacher (all units of resource are therefore illustrative and subject to change):

- a. The per pupil funding rate is assumed to be £2,864 (A)
- b. The cost of a teacher on Mainscale Point 6 – salary and employer on-costs - is £40,100 (B)
- c. To have sufficient income from the Funding Formula to employ a teacher, a school needs  $\text{£40,100 (B) / £2,864 (A) = 14 pupils (C)}$
- d. The Funding Formula therefore provides sufficient funding to appoint a teacher provided there are 14 pupils. The maximum top-up funding a school can receive is for 14 ‘missing’ pupils (C)
- e. Therefore where the actual number on roll exceeds a multiple of 30 compared to the number on roll funded in the original budget the school would be entitled to top-up funding
- f. Funding will be added, pro rata per term, for each missing pupil  
The attached Annex sets out funding top-up rates, based on the cost of employing a teacher at £40,100 and the BF Funding Formula delivers sufficient funding to appoint a teacher provided there are 14 pupils. These factors and amounts are subject to annual re-calculation.

Children admitted **in-year** as an “excepted pupil” in accordance with The School Admissions (Infant Class Sizes) (England) Regulations 2012, or other relevant legislative requirement will not be included in the calculation for top up funding as they will not impact on the need to recruit a teacher. The exclusion will apply for the full period the child is on roll at the school to the end of Key Stage 1.

“Excepted pupils” currently include those that are admitted to the school outside a normal admission round:

- as a result of the local authority specifying the school in the child’s statement;
- are looked after;

## Unrestricted

- were in error initially refused admission;
- are from a service family.

“Excepted pupils” on the roll of a school at the October census will generate per pupil funding for a school in the next budget. These funds will be taken into account in any top up funding calculations.

Separate calculations will be made each term, based on data obtained from the relevant census.

Exceptions:

There are two exceptions to the general rule set out above:

1. In order to avoid double funding, a school will not be eligible for Key Stage 1 class size funding in the autumn and spring terms where the school has qualified of an in-year growth allowance for these pupils.
2. When a school is funded on the basis of estimated actual costs, which is ordinarily a new school or one that opens additional forms of entry during a financial year, it will not be entitled to any top up funding from the Key Stage 1 class size contingency, provided funds for the additional costs that will arise are allocated from an alternative source.

**Approved by the Forum on 16 January, 2014.**

**2014-15 Funding allocations to support schools needing to meet the  
Key Stage 1 Class Size Funding regulations**

School	Total KS1 pupils funded October 2013	K.S 1 Allocation summer term 2014	K.S 1 Allocation autumn term 2014	K.S 1 Allocation spring term 2015	Total
Ascot Heath Infant	207	£0	£0	£0	£0
Binfield CE Primary	178	£0	£0	£0	£0
Birch Hill Primary	178	£0	£0	£0	£0
College Town Infant & Nursery	213	£12,916	£10,333	£7,750	£30,999
College Town Junior	0	£0	£0	£0	£0
Cranbourne Primary	87	£0	£0	£0	£0
Crown Wood Primary	215	£10,568	£0	£0	£10,568
Crowthorne CE Primary	88	£0	£0	£0	£0
Fox Hill Primary	91	£0	£0	£0	£0
Great Hollands Primary	174	£0	£0	£0	£0
Harmans Water Primary	268	£0	£0	£0	£0
Holly Spring Infant & Nursery	282	£0	£1,879	£1,409	£3,288
Holly Spring Junior	0	£2,348	£0	£0	£2,348
Jennetts Park CE Primary	151	£0	£0	£0	£0
Meadow Vale Primary	267	£0	£0	£0	£0
New Scotland Hill Primary	90	£0	£0	£0	£0
Owlsmoor Primary	223	£1,174	£0	£0	£1,174
Pines (The)	98	£7,045	£0	£0	£7,045
Sandy Lane Primary	292	£0	£0	£0	£0
St. Joseph's Catholic Primary	90	£0	£0	£0	£0
St. Margaret Clitherow Catholic Primary	89	£0	£0	£0	£0
St. Michael's CE Primary, Easthampstead	105	£0	£0	£0	£0
St. Michael's Sandhurst	85	£0	£0	£0	£0
Uplands Primary	90	£0	£0	£0	£0
Warfield CE Primary	90	£0	£0	£0	£0
Whitegrove Primary	177	£0	£0	£0	£0
Wildmoor Heath	78	£0	£0	£0	£0
Wildridings Primary School	169	£0	£0	£0	£0
Winkfield St. Mary's CE Primary	89	£0	£0	£0	£0
Wooden Hill Primary & Nursery	147	£0	£0	£0	£0
<b>TOTAL Primary</b>	<b>4,311</b>	<b>£34,051</b>	<b>£12,212</b>	<b>£9,159</b>	<b>£55,422</b>

## 2014-15 termly allocation detail for Key Stage 1 Class Size Funding

School	Data used for original budget			Summer Term data					Autumn Term data					Spring budget data				
	KS1 pupils as at October 2013	Number of classes that can be funded	Number of pupils above multiple of 30	KS1 pupils as at May 2014	Number of classes needed	Additional classes needed	Number of 'missing pupils' needed to fund extra class	KS1 Allocation summer term	KS1 pupils as at October 2014	Number of classes needed	Additional classes needed	Number of 'missing pupils' needed to fund extra class	KS1 Allocation autumn term	KS1 pupils as at January 2015	Number of classes needed	Additional classes needed	Number of 'missing pupils' needed to fund extra class	KS1 Allocation spring term
Ascot Heath Infant	207	7	27	207	7	0	0	£0	202	7	0	0	£0	203	7	0	0	£0
Binfield CE Primary	178	6	28	180	6	0	0	£0	180	6	0	0	£0	179	6	0	0	£0
Birch Hill Primary	178	6	28	180	6	0	0	£0	179	6	0	0	£0	179	6	0	0	£0
College Town Infant & Nursery	213	7	3	214	8	1	11	£12,916	226	8	1	11	£10,333	228	8	1	11	£7,750
Cranbourne Primary	87	3	27	90	3	0	0	£0	87	3	0	0	£0	88	3	0	0	£0
Crown Wood Primary*	215	7	5	221	8	1	9	£10,568	243	9	2	9	£0	241	9	2	9	£0
Crowthorne CE Primary	88	3	28	90	3	0	0	£0	89	3	0	0	£0	90	3	0	0	£0
Fox Hill Primary	91	3	1	90	3	0	0	£0	88	3	0	0	£0	90	3	0	0	£0
Great Hollands Primary*	174	6	24	178	6	0	0	£0	165	6	0	0	£0	162	6	0	0	£0
Harmans Water Primary	268	9	28	270	9	0	0	£0	297	10	1	14	£0	297	10	1	14	£0
Holly Spring Infant & Nursery*	282	9	12	277	10	1	2	£2,348	281	10	1	2	£1,879	283	10	1	2	£1,409
Jennetts Park CE Primary**	151	5	1	150	5	0	0	£0	180	6	1	13	£0	180	6	1	13	£0
Meadow Vale Primary*	267	9	27	269	9	0	0	£0	268	9	0	0	£0	267	9	0	0	£0
New Scotland Hill Primary	90	3	0	90	3	0	0	£0	90	3	0	0	£0	90	3	0	0	£0
Owlsmoor Primary	223	7	13	225	8	1	1	£1,174	248	9	2	1	£0	249	9	2	1	£0
Pines (The)*	98	3	8	110	4	1	6	£7,045	123	5	2	6	£0	119	4	1	6	£0
Sandy Lane Primary	292	10	22	284	10	0	0	£0	280	10	0	0	£0	281	10	0	0	£0
St. Joseph's Catholic Primary	90	3	0	89	3	0	0	£0	90	3	0	0	£0	90	3	0	0	£0
St. Margaret Clitherow Catholic Pry	89	3	29	90	3	0	0	£0	90	3	0	0	£0	90	3	0	0	£0
St. Michael's E'stead CE Aided Pry	105	4	15	105	4	0	0	£0	105	4	0	0	£0	105	4	0	0	£0
St. Michael's CE Primary, Sandhurst	85	3	25	84	3	0	0	£0	89	3	0	0	£0	90	3	0	0	£0
Uplands Primary	90	3	0	90	3	0	0	£0	90	3	0	0	£0	90	3	0	0	£0
Warfield CE Primary	90	3	0	90	3	0	0	£0	90	3	0	0	£0	90	3	0	0	£0
Whitegrove Primary	177	6	27	180	6	0	0	£0	180	6	0	0	£0	180	6	0	0	£0
Wildmoor Heath	78	3	18	76	3	0	0	£0	81	3	0	0	£0	81	3	0	0	£0
Wildridings Primary School*	169	6	19	172	6	0	0	£0	174	6	0	0	£0	176	6	0	0	£0
Winkfield St. Mary's CE Primary	89	3	29	89	3	0	0	£0	89	3	0	0	£0	90	3	0	0	£0
Wooden Hill Primary & Nursery	147	5	27	150	5	0	0	£0	150	5	0	0	£0	148	5	0	0	£0
<b>TOTAL Primary</b>	<b>4,311</b>	<b>145</b>	<b>471</b>	<b>4,340</b>	<b>150</b>	<b>5</b>	<b>29</b>	<b>£34,051</b>	<b>4,454</b>	<b>155</b>	<b>10</b>	<b>56</b>	<b>£12,211</b>	<b>4,456</b>	<b>154</b>	<b>9</b>	<b>56</b>	<b>£9,159</b>

\* Relevant schools also receive funding from significant increases in pupil numbers so to avoid double funding, autumn and spring term KS1 funding entitlement disallowed.

\*\* Relevant school is funded for in-year cost increase from rising pupil numbers from new and expanding school contingency, so to avoid double funding, KS1 funding entitlement disallowed.

## 2014-15 allocations from the SEN Specific Contingency

SCHOOL	No. top-up pupils by school Jan 2014	NOR As at Oct 13	Top-up pupils % (1)	Value of top-up for full year	Budget 14-15	Top-up as % of school budget (2)	Qualify under both criteria?	2014-15 funding on proposed criteria	Notes:
Ascot Heath Inf	2	207	0.97%	£8,741	£752,715	1.16%	No	£0	(1) relevant thresholds:
Ascot Heath Jun	5	239	2.09%	£14,632	£850,082	1.72%	No	£0	Primary >4%
Binfield	1	410	0.24%	£570	£1,341,626	0.04%	No	£0	Secondary >2%
Birch Hill	7	388	1.80%	£22,422	£1,335,325	1.68%	No	£0	(2) relevant thresholds:
College Town Inf	1	213	0.47%	£3,420	£780,406	0.44%	No	£0	Primary >2%
College Town Jnr	4	282	1.42%	£7,980	£992,243	0.80%	No	£0	Secondary >1%
Cranbourne	0	202	0.00%	£0	£743,494	0.00%	No	£0	
Crown Wood	8	426	1.88%	£23,562	£1,494,520	1.58%	No	£0	
Crowthorne CE Primary	4	209	1.91%	£16,722	£772,093	2.17%	No	£0	
Fox Hill Primary	2	193	1.04%	£5,320	£808,259	0.66%	No	£0	
Great Hollands Primary	11	367	3.00%	£37,624	£1,411,797	2.66%	No	£0	
Harmans Water Primary	7	624	1.12%	£19,191	£2,130,624	0.90%	No	£0	
Holly Spring Infant and Nursery	1	282	0.35%	£6,841	£1,004,966	0.68%	No	£0	
Holly Spring Junior	9	248	3.63%	£23,372	£913,547	2.56%	No	£0	
Jennetts Park Primary	2	251	0.80%	£6,841	£979,349	0.70%	No	£0	
Meadow Vale Primary	3	503	0.60%	£6,460	£1,720,190	0.38%	No	£0	
New Scotland Hill Primary	4	206	1.94%	£18,110	£755,184	2.40%	No	£0	
Owlsmoor Primary	3	500	0.60%	£12,789	£1,649,156	0.78%	No	£0	
The Pines Primary and Nursery	2	199	1.01%	£10,642	£815,965	1.30%	No	£0	
Sandy Lane Primary	13	638	2.04%	£41,289	£2,163,168	1.91%	No	£0	
St Joseph's Catholic Primary	5	210	2.38%	£27,612	£780,917	3.54%	No	£0	
St Margaret Clitherow Catholic Primary	2	206	0.97%	£3,040	£776,215	0.39%	No	£0	
St Michael's Easthampstead CE Aided Primary	3	241	1.24%	£10,641	£860,925	1.24%	No	£0	
St Michael's CE Aided Primary (Sandhurst)	0	203	0.00%	£0	£726,273	0.00%	No	£0	
Uplands Primary	1	211	0.47%	£3,420	£767,488	0.45%	No	£0	
Warfield CE Primary	2	209	0.96%	£13,682	£786,154	1.74%	No	£0	
Whitegrove Primary	3	444	0.68%	£9,881	£1,463,464	0.68%	No	£0	
Wildmoor Heath	1	181	0.55%	£1,520	£702,853	0.22%	No	£0	
Wildridings Primary	7	369	1.90%	£23,942	£1,343,080	1.78%	No	£0	
Winkfield St Mary's CE Primary	0	207	0.00%	£0	£758,907	0.00%	No	£0	
Wooden Hill Primary and Nursery	8	325	2.46%	£37,112	£1,198,628	3.10%	No	£0	
Brakenhale	14	852	1.64%	£49,330	£4,273,048	1.15%	No	£0	
Easthampstead Park	18	694	2.59%	£38,191	£3,751,675	1.02%	Yes	£19,800	
Edgbarrow	23	1,047	2.20%	£82,280	£4,695,440	1.75%	Yes	£25,300	
Garth	25	1,333	1.88%	£44,651	£6,472,338	0.69%	No	£0	
Ranelagh Church of England School	26	775	3.35%	£68,214	£3,444,204	1.98%	Yes	£28,600	
Sandhurst School	11	843	1.30%	£29,832	£3,949,930	0.76%	No	£0	
<b>Primary total</b>	<b>121</b>	<b>9,393</b>	<b>1.29%</b>	<b>£417,378</b>	<b>£33,579,612</b>	<b>1.24%</b>	<b>0</b>	<b>£0</b>	
<b>Secondary total</b>	<b>117</b>	<b>5,544</b>	<b>2.11%</b>	<b>£312,498</b>	<b>£26,586,636</b>	<b>1.18%</b>	<b>3</b>	<b>£73,700</b>	
<b>Total ALL</b>	<b>238</b>	<b>14,937</b>	<b>1.59%</b>	<b>£729,876</b>	<b>£60,166,248</b>	<b>1.21%</b>	<b>3</b>	<b>£73,700</b>	

## Criteria for the allocation additional funds to support schools facing financial difficulties

### Outline of the scheme

School Funding Regulations allow for additional funds outside the normal operation of the Funding Formula to be provided to schools considered to be in financial difficulty. In agreement with the Schools Forum, funding of £0.304m has been set aside in the School's Budget for this purpose. The criteria to be used to allocate this funding has also previously been agreed, and a school would qualify for additional financial support if, in the opinion of the Director of Children, Young People and Learning and the Borough Treasurer, they:

1. were unable to set a balanced budget and were in need of a licensed deficit arrangement at the start of the relevant financial year, and/or
2. were likely to fall into one of the categories of causing concern, including notice to improve and special measures without additional financial support

Where additional funding is agreed, it is on condition that the senior managers and relevant governors of each school attend regular monitoring meetings with officers of the Council, provide such financial and other information that is requested, and do not make any significant deviations in spending, either in magnitude or by type without the approval of the Director of Children, Young People and Learning.

Before any proposed allocation of such funds is passed on to relevant schools, they are reported to and agreed by the Schools Forum. However, this can cause uncertainty and result in a delay in releasing resources to meet an immediate need.

### Powers delegated to the Director of Children, Young People and Learning

In order to allow funds to be allocated within an appropriate time scale it is recommended that a set of principles be agreed by the School Forum which allows the Director of Children, Young People and Learning discretion to allocate funds up to but not exceeding a set level dependent on the Ofsted category of the school. Any such allocations would subsequently be reported to the Schools Forum.

The level of allocation of funds would be:

1. schools issued with a Notice to Improve (up to £20k per year)
2. schools deemed to be in need of special measures (up to £50k per year)
3. schools at risk of either being issued with a Notice to Improve or entering special measures (up to £30k per year)

With a maximum value of aggregate allocations of £150k in any one financial year without the express approval of the Schools Forum.

Where schools enter an Ofsted category of concern (Issued with a Notice to Improve or placed in Special Measures) the LA establishes a Management Intervention Board (MIB). The Board has an independent chair and senior officers of the LA as members. The headteacher and Chair of Governors of the school also attend the MIB to report on progress. A support plan outlines the actions to be taken by the school and the LA in order to effect rapid improvement. Where the school is unable to fund these actions from its own delegated budget the MIB can request that additional resources be sought. Any such requests are approved by the Director of Children, Young People and Learning. Funds would be allocated to the school from those held for schools in financial difficulty.

**Approved by the Forum on 26 April, 2012**