

Worcestershire Schools Forum (WSF) Agenda 4 July 2019

2.00pm

Kidderminster Room

County Hall

Worcester

WR5 2NP

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Contents

Page | 1

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AGENDA

Agenda Item 1 Apologies

Agenda Item 2 Declaration of Interests

Agenda Item 3 Declaration of potential Conflict of Interests with Items on the Agenda

Agenda Item 4 Minutes of the Previous Meeting 23rd May 2019

Agenda Item 5 Matters Arising

Agenda Item 6 Any Other Business

Agenda Item 7 Apprenticeship Levy Update for Maintained Schools

Agenda Item 8 Accountability and Responsibility of Headteachers for Premises and Safety

Risk Management

Agenda Item 9 High Needs Update –

a) Task Group 18th June 2018

i) High Needs Recovery Interim Report

ii) High Needs Recovery Interim Report Supplement

iii) Draft Notes of Meeting

b) Draft Recovery Plan Update

c) DfE Call for Evidence

Agenda Item 10 Maintained Schools Balances 2018-19

Agenda Item 11 DSG Outturn 2018-19

Agenda Item 12 WSF Meeting Schedule Academic Year 2019/20

Date of Next Meeting:

Thursday 26 September 2019 at **3pm** Kidderminster Room, County Hall



MEETING OF THE WORCESTERSHIRE SCHOOLS FORUM (WSF)

Thursday 4th July 2019 at 2.00pm
Kidderminster Room, County Hall, Worcester

A G E N D A

1. Apologies
2. Declaration of Interests
3. Declaration of Potential Conflict of Interests
With Items on the Agenda
4. Minutes of the Last Meeting 23rd May 2019 (attached)
5. Matters Arising
6. Any Other Business
7. Apprenticeship Levy Update for Maintained Schools (attached)

(Judy Chadwick
Group Manager Skills and Investment
Children, Families and Communities
In attendance)
8. Accountability and Responsibility of Headteachers for Premises and Safety Risk Management (attached)

(Clive Werrett
Corporate Health and Safety Manager
Worcestershire County Council
In Attendance)

Nick Wilson

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Director – Education
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9. High Needs Update –
- a) Task Group 18th June 2018
 - i) High Needs Recovery Interim Report (attached)
 - ii) High Needs Recovery Interim Report Supplement (attached)
 - iii) Draft Notes of Meeting (attached)
 - b) Draft Recovery Plan Update (to follow)
 - c) DfE Call for Evidence (discussion)

(Penny Richardson
Interim Group Manager SEND
Children, Families and Communities
In attendance)

10. Maintained Schools Balances 2018-19 (to follow)
11. DSG Outturn 2018-19 (attached)
12. WSF Meeting Schedule Academic Year 2019/20 (attached)

Date of Next Meeting: - Thursday 26th September 2019 at **3pm**
Kidderminster Room, County Hall

Please note later start time of 3pm for this meeting

Please pass apologies to Andy McHale who can be contacted on
Tel 01905 846285 or e-mail amchale@worcestershire.gov.uk

MINUTES OF THE MEETING OF THE
WORCESTERSHIRE SCHOOLS FORUM (WSF)

Thursday 23rd May 2019
Kidderminster Room, County Hall, Worcester

The meeting started at 2.00 pm

IN ATTENDANCE:

WSF Members

Malcolm Richards (Chair)	-	Governor, Bromsgrove
Paul Essenhigh	-	Executive HT Catshill Middle, Catshill First and Nursery Schools
Nathan Jones	-	HT Meadow Green Primary
Vivienne Cranton	-	HT Hollymount Primary School
Adrian Ward	-	HT Trinity High School
David McIntosh	-	Governor, Wyre Forest
Stephen Baker	-	Union Representative
Tricia Wellings	-	PVI Sector

Local Authority (LA)

Nick Wilson	-	Interim Assistant Director Education and Skills Children, Families and Communities
Andy McHale	-	Service Manager Funding and Policy Children, Families and Communities
Caroline Brand	-	Finance Manager Children, Families and Communities
Penny Richardson (from 2.30pm)	-	Interim Group Manager SEND Children, Families and Communities
Councillor Marcus Hart	-	Cabinet Member with Responsibility for Education and Skills

1. APOLOGIES AND ANNOUNCEMENTS

1.1 Apologies

Marie Pearse	-	HT Evesham Nursery School (Absent)
Bryn Thomas	-	HT Wolverley CE Secondary School
Chris King	-	CEO Severn Academies Educational Trust
Tim Reid	-	Church of England Board of Education
Deb Rattley	-	HT Chadsgrove Special School
Lorraine Petersen	-	Governor, Bromsgrove
Greg McClarey	-	Archdiocese of Birmingham
Jeff Robinson	-	Governor, Malvern Hills
John Bateman	-	Governor, Aspire Alternative Provision (AP) Free School
Edward Senior	-	16-19 Providers

1.2 Announcements

(a) Andy advised the WSF that Sue Alexander had retired from WCC leaving the County Council at the end of April 2019 and paid tribute to her significant contributions to WSF and school funding matters. The Chair concurred and on behalf of the WSF thanked Sue for all her hard work.

(b) The PVI representative advised that Denise Phelps was no longer a PVI provider so had stepped down from the WSF. The sector would arrange for another representative.

(c) The Chair thanked Adrian Ward for chairing the last WSF meeting in January 2019 in his absence.

2. DECLARATION OF INTERESTS

None.

3. DECLARATION OF POTENTIAL CONFLICT OF INTERESTS WITH ITEMS ON THE AGENDA

None.

4. MINUTES OF THE LAST MEETING (16th January 2019)

Agreed.

5. MATTERS ARISING

None.

6. ANY OTHER BUSINESS

None.

7. TEACHER APPRENTICESHIPS

7.1 Andy advised colleagues from the University of Worcester were unable to attend so the item would be re-scheduled for the new academic year.

7.2 Members of the WSF requested information on the workings, the process for accessing, particularly for schools in financial difficulty, and the amount in the Apprenticeship Levy fund.

RESOLVED –

The Clerk to arrange a report for a future WSF meeting.

8. CABINET DECISIONS 31st JANUARY 2019 FOR 2019-20 BUDGET (PARAGRAPH 10)

8.1 Andy advised that the Cabinet paper included the DfE notified DSG position for 2019-20 and items discussed at the WSF meeting on 16th January 2019.

8.2 The WSF noted the issues.

9. OUTCOMES OF THE DfE CONSULTATION FOR REPORTING DEFICITS OF THE DEDICATED SCHOOLS GRANT (DSG)

9.1 Andy advised that the DfE had now published its policy on this and LAs with a DSG deficit of 1% or more of its gross total DSG would be required to submit a recovery template by the end of June 2019.

9.2 Andy further advised the DfE definition of 'deficit' relates to the cumulative DSG position as at 31st March in the County Council's accounts.

9.3 In response to questions from the WSF, Andy confirmed the final accounts process is still subject to external audit scrutiny and has yet to be fully completed. However, current indications show by drawing down all the current DSG Reserve and other DSG adjustments to support the current high needs overspend the deficit on the DSG Reserve as at 31st March 2019 will be within the 1% tolerance.

9.4 The WSF noted this and on this basis, there will be no need for a formal submission to the DfE this year. However, with the current HN position and its significant structural deficit an internal recovery plan will still be required and potentially a formal submission at the end of June 2020.

9.5 The WSF queried the use of all the DSG reserves given some were earmarked for other DSG pressures. Andy confirmed the actual final position on the DSG will be brought to the WSF to its meeting on 4th July 2019 as usual and that many LAs were in this position because of HN budget pressures.

10. HIGH NEEDS UPDATE

10.1 DfE Call for Evidence on the Provision for SEND and Alternative Provision: How the Financial Arrangements Work

(a) Andy introduced the report which detailed a DfE consultation to conclude on 31st July 2019. It had already been discussed in the HN Task and Finish Group.

(b) The WSF noted the issues and that the consultation did not make any specific mention of early years settings.

(c) In terms of a response given the structure of the consultation survey it could be difficult to make a WSF response so all interested parties were encouraged to respond. The WSF requested the LA look at the questionnaire and advise further at the next meeting regarding submission.

10.2 Task and Finish Group Meetings

(a) The WSF noted the issues from the Task and Finish Group meetings.

(b) Penny advised there had been good debate and challenge at the meetings and the high needs recovery plan will be extremely challenging and requires a redesign of the current system, a refocus on areas of cost escalation e.g. top up funding, post 16, post 19 and out county and looking at the continuum of provision. Several other meetings with headteachers and SENCOs had also taken place.

(c) Nick thanked the Task and Finish Group for its work so far and commented despite the use of DSG reserves a significant structural HN deficit of between £8m to £10m remains. This requires both a local recovery plan but also Government investment and will take a significant amount of time to recover the position.

(d) Councillor Hart commented this is a major issue nationally requiring relevant national consideration. The Leader of the Council had met with and briefed the Worcestershire MPs and there was a huge amount of correspondence from parents. A member of the WSF confirmed a meeting was programmed with their local MP the Home Secretary for early July 2019.

(e) Members of the WSF commented as follows: -

- There is a potential double squeeze on mainstream schools with their significant cost pressures and HN costs.
- Support looking at out county costs particularly as other LAs are using WCC provision.
- However, recognise WCC places pupils in other LAs including a significant number of pupils supported by the virtual school.

(f) Andy advised of the timescales with a further task and finish group programmed for 18th June 2019 to consider a draft recovery plan using the DfE template and other reports and then reporting to the next WSF on 4th July 2019.

RESOLVED –

Following consideration by the Task and Finish Group, that a draft recovery plan be considered by the WSF at its next meeting on 4th July 2019.

11. SCHOOL BUDGET ISSUES 2019-20

11.1 Letter to Schools

(a) Caroline advised on the key issues contained in the letter. This confirmed the local formula on the year 2 NFF parameters including increases to the per pupil floor and ceiling together with the increases in the DfE Minimum Funding Levels (MFLs) including middle schools. The WSF noted these.

(b) Caroline further advised on the separate grant notifications for teachers pay and pension grant recently confirmed by the DfE.

(c) Members of the WSF raised issues on the budget setting process and that Collaborative Planning (CP) was a useful tool with several schools providing peer support. However, there were still issues on staff training in some schools and on e5 for schools in federations, but CP seemed fine for such schools. Caroline advised that schools are paying for a service on this, so they need to continue to use the helpline.

11.2 Final Authority Proforma Tool (APT)

(a) Andy introduced the report which detailed the final January 2019 position on the APT for 2019-20 together with a comparison to 2018-19.

(b) Andy confirmed following the support of the WSF, the submission of the APT for 2019-20 was made to the ESFA using the Year 2 NFF parameters and funding any shortfall from the Schools Block DSG overall, which now includes the national formula allocation for the Pupil Growth Fund. This approach has been approved by the ESFA with the 2019-20 shortfall of £0.461m being funded from the Schools Block DSG overall.

(c) The WSF noted the year on year changes in the data sets and NFF parameters. In particular, the need for a further £1.6m to support the MFLs and the increased requirement of £3.3m for the changes to the per pupil floor and ceiling.

(d) In response to questions from the WSF Andy confirmed the sparsity factor parameters were from the NFF and no transfer or top slice had been made from the Schools Block to support other DSG cost pressures.

12. REQUIRED CHANGES TO THE SCHEME FOR FINANCING MAINTAINED SCHOOLS

12.1 Andy advised that the DfE had published some changes to their statutory guidance governing the above scheme. The changes were detailed in the report and needed to be incorporated into the existing scheme.

12.2 Caroline advised on the changes made by the DfE to the Schools Financial Value Standard for 2019-20 with a more detailed declaration for the submission and it still including a requirement for 3-year budget planning.

RESOLVED –

On a show of hands, the Maintained Schools WSF members (3 Yes, 0 No, 0 Abstentions) approved the required changes to the Scheme for Financing Maintained Schools and for its publication on the WSF web site.

13. F40 GROUP ISSUES

13.1 The WSF noted the campaign sheet, the updated NFF proposals and the notes of the DfE meeting on 9th April 2019.

13.2 The WSF also noted the retirement of the Chair and Secretary of the F40 Group and commended the roles they had played. The WSF were supportive of a renewed impetus in the new F40 executive group arrangements.

14. ACADEMIES UPDATE

14.1 The WSF noted the current academies position as at 1st May 2019.

14.2 The WSF discussed the current local and national position on academisation and the ability of schools to federate. Nick commented that there is pressure from the RSC for stand-alone academies to become part of MATs.

The meeting closed at 3.30pm

The date of the next WSF meeting is: -

Thursday 4th July 2019 at 2pm
Kidderminster Room
County Hall
Worcester

DRAFT

REPORT TO THE WORCESTERSHIRE SCHOOLS FORUM (WSF)
APPRENTICESHIP LEVY UPDATE FOR MAINTAINED SCHOOLS

1. PURPOSE

1.1 to discuss with the WSF the Maintained Schools Apprenticeship Levy and its promotion and use within the County.

2. BACKGROUND

2.1 Effective from 6th April 2017, the Apprenticeship Levy is paid by UK employers with a payroll bill of more than £3m. This includes LAs and their maintained schools, whose payroll costs are aggregated. Paid monthly to HMRC, the apprenticeship levy is calculated as 0.5% of all payroll costs exceeding £3m and managed via an online digital apprenticeship account, administered by Worcestershire County Council (WCC).

2.2 With the legal duty upon the public sector to ensure that 2.3% of the workforce are apprentices, WCC has developed an Apprenticeship Levy Framework including this policy, process flowchart, forms and documents to help schools to navigate through the apprenticeship system and successfully engage with apprenticeship development programmes for their staff and for WCC to effectively and efficiently manage the apprenticeship levy fund and outcomes.

2.3 The Levy changes monthly and is not a fixed amount, however currently WCC are contributing £73.5k to the levy pot on average per calendar month which is a split of £30.8k (WCC County Hall functions) and £42.7k (Maintained Schools) per calendar month.

2.4 The Skills team in WCC currently manage the process of approving the finances to schools, this process is in place to ensure availability of finance, quality assurance of provision and offer and to enable contracting to take place.

2.5 The team affects a panel monthly which meets to approve the current applications in the system. This panel consists of Judy Chadwick and Andy McHale as WCC officers.

2.6 To date no approvals have been turned away but rather clarifications have been sought.

3. CURRENT PERFORMANCE

3.1 The WCC skills team working with Worcestershire Apprenticeships carried out several activities to support schools from April 2017, this included holding an event to schools to support them to access the funds and contact was made by an apprenticeship specialist to all schools to support them to understand and enable apprenticeships in their schools.

3.2 The programme commenced in September 2017 with a strong number of applications from schools. To date we have had 99 applications from maintained schools. Currently 75 of these are active, with 49 still on programme.

3.3 These have been a mix of both level, subject, cost and provider as follows: -

- Level 2 (Intermediate) 22
- Level 3 (Advanced) 21
- Level 4,5,6,7 (Higher) 5

3.4 The range of providers include: -

- Aspiration Training 1
- Aspire Sport and Education 1
- Education and Skills Training 1
- Heart of Worcestershire College 6
- Kidderminster College 16
- National Schools Apprenticeships 1
- NIE Professional Learning 1
- Primary Goal 1
- Skills Training UK 1
- The Development Manager 3
- University College Birmingham 1

3.5 The range of subjects include: -

- Early Years and Childcare
- Business Administration
- Supporting Teaching and Learning
- Accountancy Assistant
- Business Administration
- Infrastructure Technician
- Early Years Education
- Teaching Apprenticeship
- Teaching Assistant
- Senior Leaders

3.6 WCC County Hall currently has 17 apprentices on programme and these are predominately in Business Administration and Care disciplines at Level 3.

3.7 the apprenticeship Cost per calendar month is approximately £15,000 and cost ranges between £2,500 to £23,500 per apprenticeship. 35 of the current cohort costs less than £5,000 per apprenticeship.

4. WIDER WORK

4.1 WCC is working to promote apprenticeships to schools through its communications but also through its partnership with Worcestershire Apprenticeships. This service offers schools the opportunity to discuss apprenticeships and discuss provision for the school.

4.2 The service also works with Secondary and Middle Schools through the Careers and Enterprise Company programme to promote apprenticeships to young people as a viable career pathway. Over the last 12 months the service has seen over 20,000 young people to discuss apprenticeships.

5. DETAILS AND ISSUES

5.1 Quality Assurance

- With such a wide provision and offer so varied around the County, it has been difficult to manage quality issues and ensure that apprenticeship provision is strong.
- The Skills team has recently implemented an annual quality assurance process with schools and apprentices to look at their experiences as well as ensure provision is being effective.

5.2 Unused Levy

- WCC is now looking at how it can ensure that the levy is either used or transferred to supply chain organisations
- This is a complex issue and although WCC are looking for solutions, challenges around public procurement etc are impacting.

5.3 Resources

- Resources within WCC to run this programme are limited and this affects our ability to really work with our schools and make the take up more effective.
- This this is unlikely to change moving forward but it should be recognised as a challenge in delivery.

6. CONCLUSIONS

- The programme is strong, but levy is returning to HMRC.
- The programme is challenged by finding new entrants due to needing to find the salary contributions
- There is more work to be done to look at existing workforce and WCC will look to consider more marketing around this for September 2019.

Judy Chadwick
Skills and Investment Group Manager
Children, Families and Communities

June 2019

REPORT TO THE WORCESTERSHIRE SCHOOLS FORUM (WSF)
ACCOUNTABILITY AND RESPONSIBILITY OF HEADTEACHERS
PREMISES AND SAFETY RISK MANAGEMENT

1. INTRODUCTION

1.1 The purpose of this document is to clarify the accountability and responsibility of Head teachers for premises and safety risks. Maintained schools are almost autonomous within the Council as a consequence of devolved budgets. Governors and Head Teachers are able to determine how budgets are spent and allocate resources without reference to the Council. Whilst this an effective way of running schools there are complications because the Council remains the employer (of school staff) and owner of school premises.

1.2 The Council has statutory duties as the employer and owner of premises and does this by devolving the responsibilities through line management supported by back office functions and agents. The Corporate H&S policy is the main vehicle used to devolve responsibilities but does not contain much detail in respect of schools. A separate policy is used to specify how H&S should be managed in schools.

1.3 Confusion is also caused by the interpretation of legislative terms such as 'employer', 'dutyholder', 'person in control of premises' and 'responsible person'. Ultimately, the Council is each of these but others can take on the roles. The autonomy of schools from devolved budgets does mean schools are a 'dutyholder' and 'person in control of premises' in some circumstances as explained below.

2. PREMISES AND SAFETY LEGISLATION

2.1 The Health and Safety at Work etc. Act 1974 (HSWA) is the primary piece of health and safety legislation in the UK and requires the 'employer' to provide: -

- A safe working environment with welfare facilities;
- A safe place of work with safe access and egress;
- The necessary training, information, instruction and supervision;
- Safe plant and systems of work; and,
- Safe handling, storage and maintenance of articles and substances.

2.2 These general duties are expanded and supplemented by subsidiary regulations, approved codes of practice, standards and guidance. To reiterate, the 'employer' for maintained schools is ultimately Worcestershire County Council but due to the size and geographical spread of the Council the accountability and responsibility for performing these duties on a day-to-day basis is devolved to local management; in maintained schools this is the Governors and Head teacher.

2.3 Legislation with respect to premises risks is mainly contained in subsidiary regulations made under the HSWA such as asbestos, electricity, gas, legionella etc. The only other significant legislation that applies to all school premises covers fire safety (Regulatory Reform (Fire Safety) Order 2005) and Occupiers Liability (Occupiers Liability Act 1957 / 1984).

3. ACCOUNTABILITY AND RESPONSIBILITY

3.1 The Council had devolved the day-to-day management of operational premises and safety risks to schools through corporate policies. The table in Annex A summarises the roles, responsibilities and relationships for managing H&S (and premises risks) in maintained (community, voluntary controlled and foundation) schools. Another and perhaps easier way to understand this is to identify who controls the budget(s) and allocates resources.

3.2 The Fair Funding Scheme for Financing Schools sets out how schools are funded and the financial arrangements. The financial responsibilities for safety are included as part of the delegated budget. Two clauses in section 6 set out where the Council can intervene and recoup costs from the school which further suggests devolved responsibilities but gives no detail -

"6.2.4 Expenditure by the LA in carrying out health and safety work or capital expenditure for which the LA is liable where funds have been delegated to the Governing Body for such work, but the Governing Body has failed to carry out the required work.

6.2.12 Costs of necessary health and safety training for staff employed by the LA, where funding for training has been delegated but the necessary training not carried out."

3.3 Section 11 gives a little more detail but is still not specific –

"Governing Bodies are required, in expending the school's budget share, to have due regard to duties placed on the LA in relation to health and safety, and the LAs policy on health and safety matters."

3.4 With respect to premises, Section 12 (Annex F) of the Fair Funding Scheme for Schools sets out the responsibilities for maintenance and repair. Effectively, the school is responsible for all maintenance and repair except for asbestos management surveys and is required to fund up to 10% of capital project costs.

3.5 For capital projects a Concept document needs to be completed and signed. This also requires the school to send the project related documents to schools. Similarly, where schools are funding refurbishments from the maintenance and repair budgets that affects the structure and / or infrastructure of the building the Council must be informed and sent copies of the project documents. NB. Any works that involve changes to the asbestos inventory, fire safety and water system will require new surveys and assessments.

3.6 The Council's H&S Policies and the Fair Funding Scheme for Schools assign the premise and safety responsibilities for schools to manage. How they do this and what it entails is the subject of the next section.

4. MANAGING PREMISES AND SAFETY RISKS

4.1 There is no fundamental difference in the way that premises and safety risks are managed; the same quality management system (Plan, Do, Check, Act) is used for both.

The complexity and confusion arises from knowing what needs to be managed, how and when. Premises are perhaps slightly easier to understand because the school and its infrastructure are 'fixed' whereas with safety the hazards and risks can change according to the activity and work environment. The table below is a quick reference guide to the premises risks to be managed by school and the Council has produced a Premise Management Guidance and Officer-in-Charge Duties Handbook that gives the details. It is expected that in most cases a school will engage a Property Agent to manage premises risk. The Governors / Head Teacher is responsible for making these arrangements and accountable to the Council for compliance. Schools must complete an annual compliance survey to confirm their status.

PREMISES RISK	REQUIREMENT
Asbestos management	Day-to-day management including visual inspections, partial surveys, air testing, remedial works and updating or registers / management plans. NB. Management surveys organized and funded by the Council and include the provision of a register and management plan. Asbestos works may be included as of the Council's capital works program.
Fire Risk Management	Fire Risk Assessments and implementing any resulting actions and recommendations. NB. The Head Teacher must also remedy any deficiencies identified in audits carried out by the Fire and Rescue Service.
Fire alarm and emergency lighting installations	Inspection and testing
Fire extinguishers and any other fire protection equipment/ systems	Inspection and testing
Automatic doors, fire escape doors and fire control doors	Testing, inspection etc. to ensure effective and safe operation.
Water Risk Management	Legionella Risk Assessments, monitoring temperatures of water systems and implementing preventative and protective measures to control the risk from legionella bacteria. etc.
Combustion appliance service and testing	Boilers, Hot water heaters, Radiant heaters etc. - to ensure safety and combustion efficiency
Gas/ Oil/ LPG systems	Testing and inspection
BEMS Controls systems	Ensure that provision has been made for controls to operate safely and efficiently
Energy Performance	Energy Performance Certificates
Ventilation systems	Inspections for duct cleanliness, fire damper checks etc.
Local Exhaust Ventilation	Inspection and testing (for D&T workshops, wood work areas, fume cupboards etc.)
Carbon Monoxide detection	Inspection and testing
Air conditioning/ cooling systems	Service, inspection and testing, and TM44 inspections if applicable
Kitchen Canopy	Cleaning – removal of oil / grease
Access Systems/ Person safe systems	Inspection and testing
Intruder Alarm	Inspection and testing
Fixed Electrical wiring and equipment	Inspection and testing
Portable electrical appliances	Inspection and testing
Lightning Protection	Inspection and testing
Lifts and/or patient handling hoists (often used for special needs - bathroom management	Inspection and testing

Sewage treatment systems (where drainage is not connected to the mains)	Inspection and routine maintenance
Contractor selection and supervision	Contractors appointed to work on the buildings or services must be competent and appropriately checked.
Contractor safety	The Construction Design and Management Regulations 2015 apply when the school procures "construction works" (the school (Head Teacher) may be the Client under the Regulations).

4.2 The management of safety risks should be embedded in all schools. Schools can devolve H&S responsibilities to their staff through policies in the same way that the Council does. Much depends on schools size and in small schools it is recognized that the Head Teacher will do the bulk of the work. This is often balanced by a decrease in the complexity and number of risks to be managed in smaller schools.

5. MONITORING

5.1 As stated above, the Council retains the statutory duties as employer and owner of premises. Devolving day-to-day responsibilities for managing premises and safety risks makes it important that schools are monitored for compliance. This is done through a system of audits, inspections and surveys.

5.2 Schools are expected to have suitable regimes to identify, report and deal with hazards, problems and issues. Termly formal inspections coupled with weekly walk-throughs are recommended to ensure risk are being managed; classroom and high risk checklists are available for schools to use via the Cority system. Other opportunities to monitor risk management are fire drills, maintenance / repair and breakdowns.

5.3 Recording / reporting is important. Safety incidents and equipment / property damage can be recorded / reported using the Council's safety management system (Cority). Schools without a SLA with Place Partnership are recommended to use Cority to record equipment / property damage. Those with a SLA must use the Contact Centre. In either case, any injury to an employee or pupil resulting from equipment / property damage must be reported on the Cority system.

5.4 The Council will monitor school compliance via an audit that includes management systems and premises / safety risks. Normally audits will be conducted on a three year cycle except where compliance falls significantly short of legal requirements.

6. SUMMARY

6.1 Head Teachers (and Governors) have considerable roles and responsibilities in the day-to-day management of premises and safety risks in schools. This document sets out the basic details of these of these roles and responsibilities. Further details can be found in the Council's policies and Premises Management Guidance. Training is also available from the H&S Team.

Clive R. Werrett
Corporate Health and Safety Manager
Worcestershire County Council
June 2019

ANNEX A: ROLES AND RESPONSIBILITIES IN DIFFERENT CATEGORIES OF SCHOOLS

COMMUNITY SCHOOLS

	Roles	Responsibilities	Relationships
Local authority	<ul style="list-style-type: none"> Is the employer and must ensure the school complies with H&S legislation Has overall accountability for health, safety and welfare for the school workforce and pupils. Owens the school land and buildings, funds the school and employs the staff. May provides support services. Must provide H&S policies and procedures. Must ensure through regular monitoring that policy and procedures are being adhered to, even where funding is delegated. 	<ul style="list-style-type: none"> Ensure compliance with H&S legislation – monitor and initiate action if necessary Ensure an active and proportionate approach to managing health, safety and welfare risks to the school workforce and pupils. Provide the governing body with H&S policy, procedures, standards and guidance Provide H&S training and information to the school workforce so that they understand their responsibilities Ensure that those delegated H&S tasks e.g. risk assessment are competent to carry them out Provide access to competent H&S advice. 	<ul style="list-style-type: none"> Supports governing body and headteacher to enable them to comply with H&S requirements Delegates funding and H&S responsibility to governing body to allow school to operate autonomously but maintains monitoring function and overall accountability.
Governing body	<ul style="list-style-type: none"> Sets strategic direction for the school through establishment of a strategic framework Has control of the school premises (Occupiers Liability Acts 1957 and 1974) Ensures that all activities undertaken via delegated funding adhere to the LAs H&S policy and procedures. 	<ul style="list-style-type: none"> Must comply with the local authority H&S policy, procedures and standards Must ensure statutory requirements and local authority H&S standards are met when allocating resources Must base its H&S decision making on all available, relevant evidence Ensures all aspects of the school premises are safe Monitors and evaluates the school's H&S performance. Produces an annual report on H&S Makes H&S a standard item on the governing body meeting agenda Delegates a named H&S governor. 	<ul style="list-style-type: none"> Is accountable to the local authority Works in close partnership with head teacher. Challenges and supports the school through provision of constructive advice.
Headteacher	<ul style="list-style-type: none"> Day to day management of all H&S matters in the school in accordance with the LA policy and procedures Takes a leadership role for the school 	<ul style="list-style-type: none"> Must comply with LA's H&S policy Must ensure effective management arrangements are in place for <ul style="list-style-type: none"> carrying out regular inspections, implementing actions and submitting inspection reports to GB and LA ensuring H&S information is provided to relevant people, including contractors carrying out H&S investigations ensuring regular H&S committee meetings take place identifying staff H&S training needs Must liaise with governing body and local authority on H&S policy issues and provide evidence to confirm school is fulfilling statutory duties via regular reporting. Must co-operate with and provide necessary facilities for trade union safety representatives/employee representatives. Must monitor purchasing and contracting procedures to ensure adherence to local authority policy Must carry out any other H&S duties delegated by the LA/governing body. 	<ul style="list-style-type: none"> Accountable to Governing Body and LA Supports other members of staff with delegated H&S responsibilities. Liaises with and provides support and information to contractors charged with providing services and/or maintenance tasks. Liaises with and provides support and information to trade union/employee representatives

VOLUNTARY CONTROLLED SCHOOLS

	Roles	Responsibilities	Relationships
Local authority	<ul style="list-style-type: none"> Is the employer and must ensure the school complies with H&S legislation Has overall accountability for health, safety and welfare for the school workforce and pupils. Funds the school and employs the staff. May provide support services. Must provide H&S policies and procedures. Must ensure through regular monitoring that H&S policy and procedures are being adhered to, even where funding is delegated. 	<ul style="list-style-type: none"> Ensure compliance with H&S legislation – monitor and initiate action if necessary Ensure an active and proportionate approach to managing health, safety and welfare risks to the school workforce and pupils. Provide the governing body with H&S policy, procedures, standards and guidance Provide H&S training and information to the school workforce so that they understand their responsibilities Ensure that those delegated H&S tasks e.g. risk assessment are competent to carry them out Provide access to competent H&S advice. 	<ul style="list-style-type: none"> Supports governing body and headteacher to enable them to comply with H&S requirements Delegates funding and H&S responsibility to governing body to allow school to operate autonomously but maintains monitoring function and overall accountability.
Foundation	<ul style="list-style-type: none"> (Generally) owns the school land and premises 	<ul style="list-style-type: none"> Maintaining safety of premises 	<ul style="list-style-type: none"> Appoints some of governing body

Governing body	<ul style="list-style-type: none"> Sets strategic direction for the school through establishment of a strategic framework Has control of the school premises (Occupiers Liability Acts 1957 and 1974) Ensures that all activities undertaken via delegated funding adhere to the LAs H&S policy and procedures. 	<ul style="list-style-type: none"> Must comply with the local authority H&S policy, procedures and standards Must ensure statutory requirements and local authority H&S standards are met when allocating resources. Must base its H&S decision making on all available, relevant evidence Ensures all aspects of the school premises are safe Monitors and evaluates the school's H&S performance. Produces an annual report on H&S Makes H&S a standard item on the governing body meeting agenda Delegates a named H&S governor. 	<ul style="list-style-type: none"> Is accountable to the local authority Works in close partnership with head teacher. Challenges and supports the school through provision of constructive advice Works closely with foundation which appoints some of governing body.
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Headteacher	<ul style="list-style-type: none"> Day to day management of all H&S in the school in accordance with the LA policy and procedures Takes a leadership role for the school. 	<ul style="list-style-type: none"> Must comply with LA's H&S policy Must ensure effective management arrangements are in place for <ul style="list-style-type: none"> carrying out regular inspections, implementing actions and submitting inspection reports to GB and LA ensuring H&S information is provided to relevant people, including contractors carrying out H&S investigations ensuring regular H&S committee meetings take place identifying staff H&S training needs Must liaise with governing body and local authority on H&S policy issues and provide evidence to confirm school is fulfilling statutory duties via regular reporting. Must co-operate with and provide necessary facilities for trade union safety representatives/employee representatives. Must monitor purchasing and contracting procedures to ensure adherence to local authority policy. 	<ul style="list-style-type: none"> Accountable to Governing Body and LA Supports other members of staff with delegated H&S responsibilities. Liaises with and provides support and information to contractors charged with providing services and/or maintenance tasks. Liaises with and provides support and information to trade union/employee representatives.
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AGENDA ITEM 9ai)
WORCESTERSHIRE SCHOOLS FORUM
4th JULY 2019

**Report to the High Needs Recovery
Task and Finish Sub-Group**

18th June 2019

High Needs Recovery Interim Report

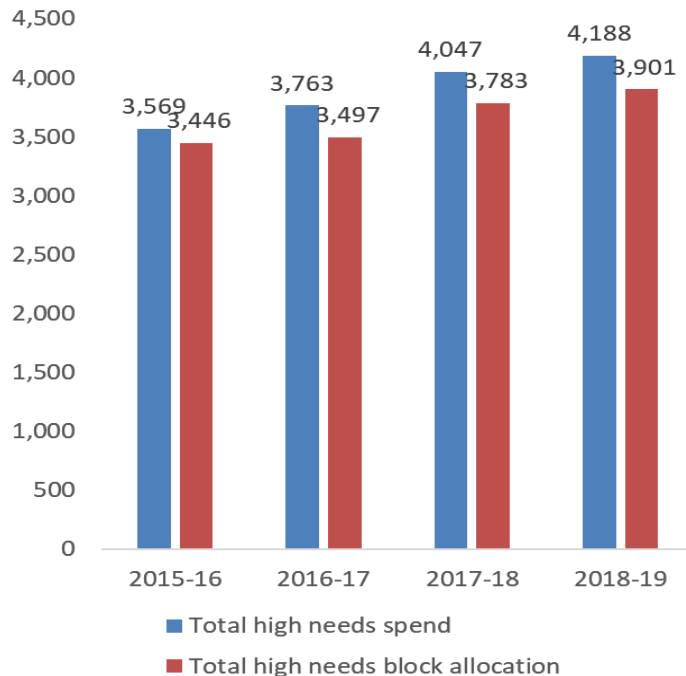
National Context: ISOS Report

- between 2014 and 2018 the number of children and young people with an EHCP or statement of SEN increased by 35% from 237,111 to 319,819. This is in stark comparison with the previous five years (2010 to 2014) in which the number of children and young people with statements / EHCPs increased by just 4%.
- a marked increase in the percentage of councils reporting that their high needs block expenditure has exceeded their own high needs budgets – from 39% in 2014-15 to 55% in 2016-17.

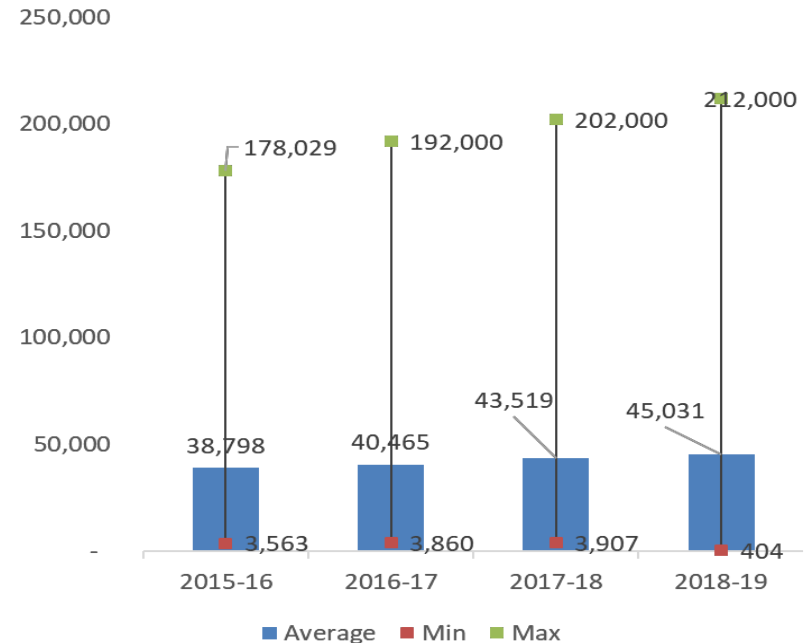
National Context: ISOS Report

- Spending on HNF has increasingly exceeded budget:

Total spend against High Needs Block budget
EMM, 2015-19



Average spend against High Needs Block budget
£000s, 2015-19

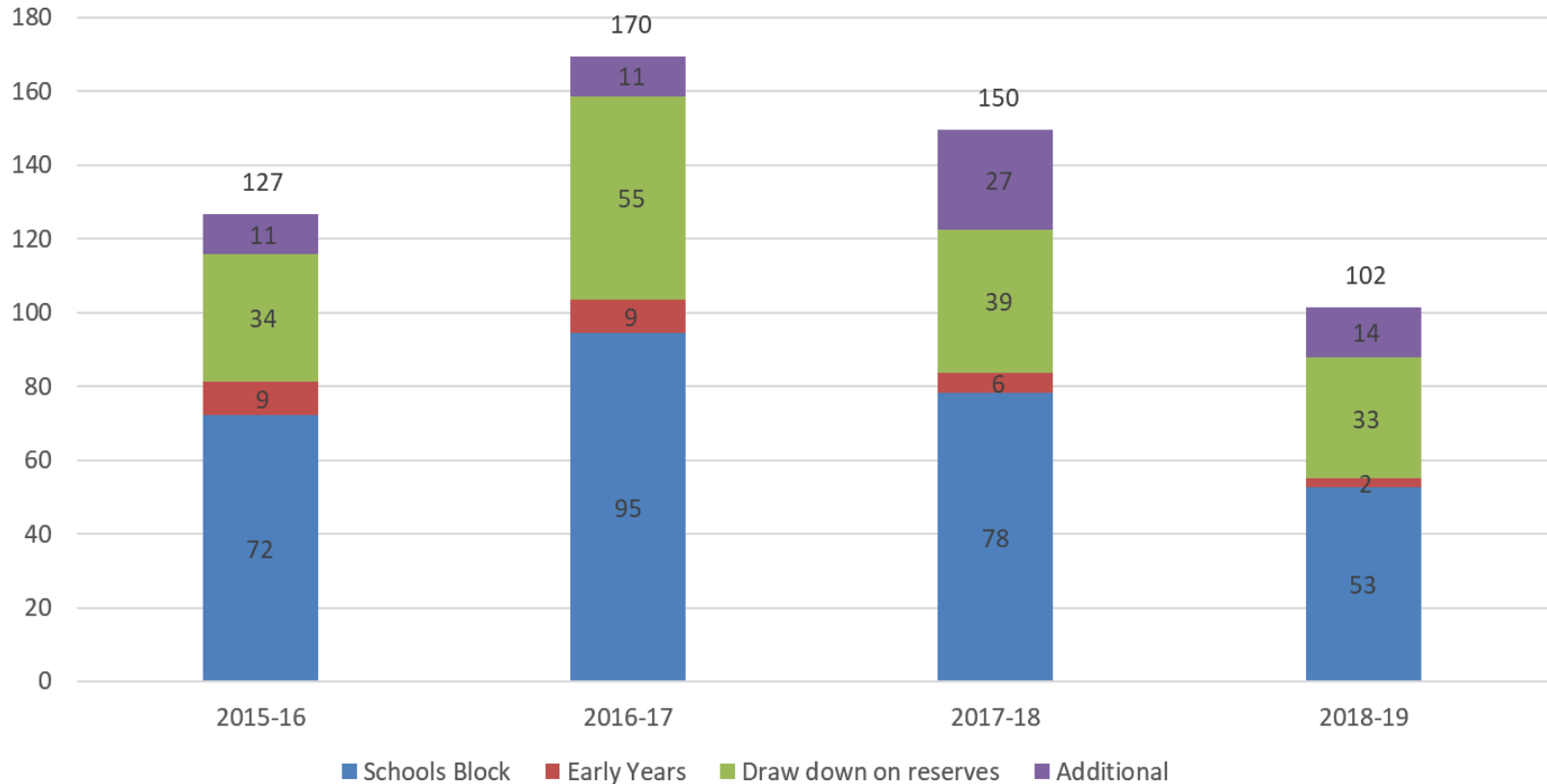


National Context: ISOS Report

- although the high needs spending gap is growing the total amount transferred in has decreased since 2016-17. This probably reflects both the 0.5% cap on transfers from the schools' block and the fact that increasingly councils are reporting that their DSG reserves are now exhausted.

National Context: ISOS Report

Inputs into High Needs Budget
EMM, 2015-19



National Context: ISOS Report

- There are two dimensions that are driving the increasing spend on high needs services and support. The first is the growing number of children and young people requiring support. The second is the increasing unit cost of placements.
- Legislative changes, demographic trends and a policy environment which has not incentivised inclusion have all contributed to rising numbers of children and young people requiring EHCPs or permanently excluded from school. These changes have been exacerbated by the impact of funding pressures across the education and children's services landscape.

National Context: ISOS Report

- The question posed in the title to this research is whether the pressures on the high needs funding have now forced the system to a tipping point. The answer to this question must be yes. Based on the survey data, within four years the system has moved from a net surplus to a deficit of at least £314 million and more likely a deficit of between £400 and £500 million pounds. The majority of local authorities are in deficit on their high-needs block, believe high needs spending pressures will continue to rise, and have little confidence in their ability to balance budgets going forward. The significant additional investments that have been made in high needs spending, from schools' block money and by drawing down on reserves, have propped up the system, delayed the impact and masked the extent of the difficulty. But now more and more councils are reporting that their reserves have gone. Even those local areas which have recorded a balanced budget this year talk about 'when' not 'if' they will go into deficit.

WORCESTERSHIRE: HIGH NEEDS RECOVERY PLAN

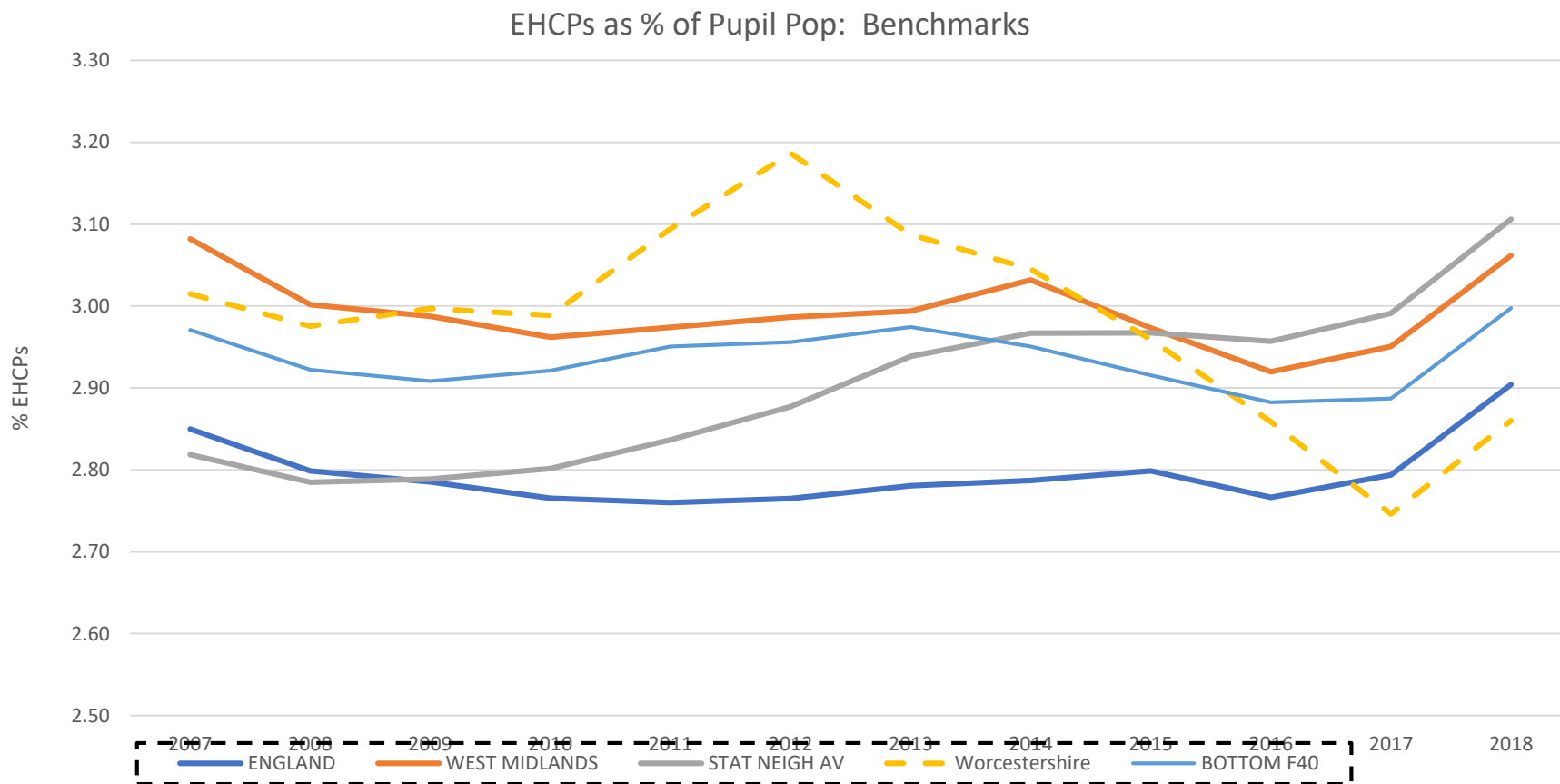
1. MANAGING DEMAND

Methodology

- We have taken nationally available statistics published by the Department for Education (the SEND 2 census data, SFR 37 Special Educational Needs in England 2018 and Section 251 returns for all LAs).
- WCC data has been compared with the English average, the West Midlands region, and its 10 closest statistical neighbours.
- Given the view that there may be a relationship between certain factors relating to SEN and low levels of funding, we have also benchmarked where relevant against the 10 lowest funded (in terms of HNF per resident pupil) of the F40 LAs.

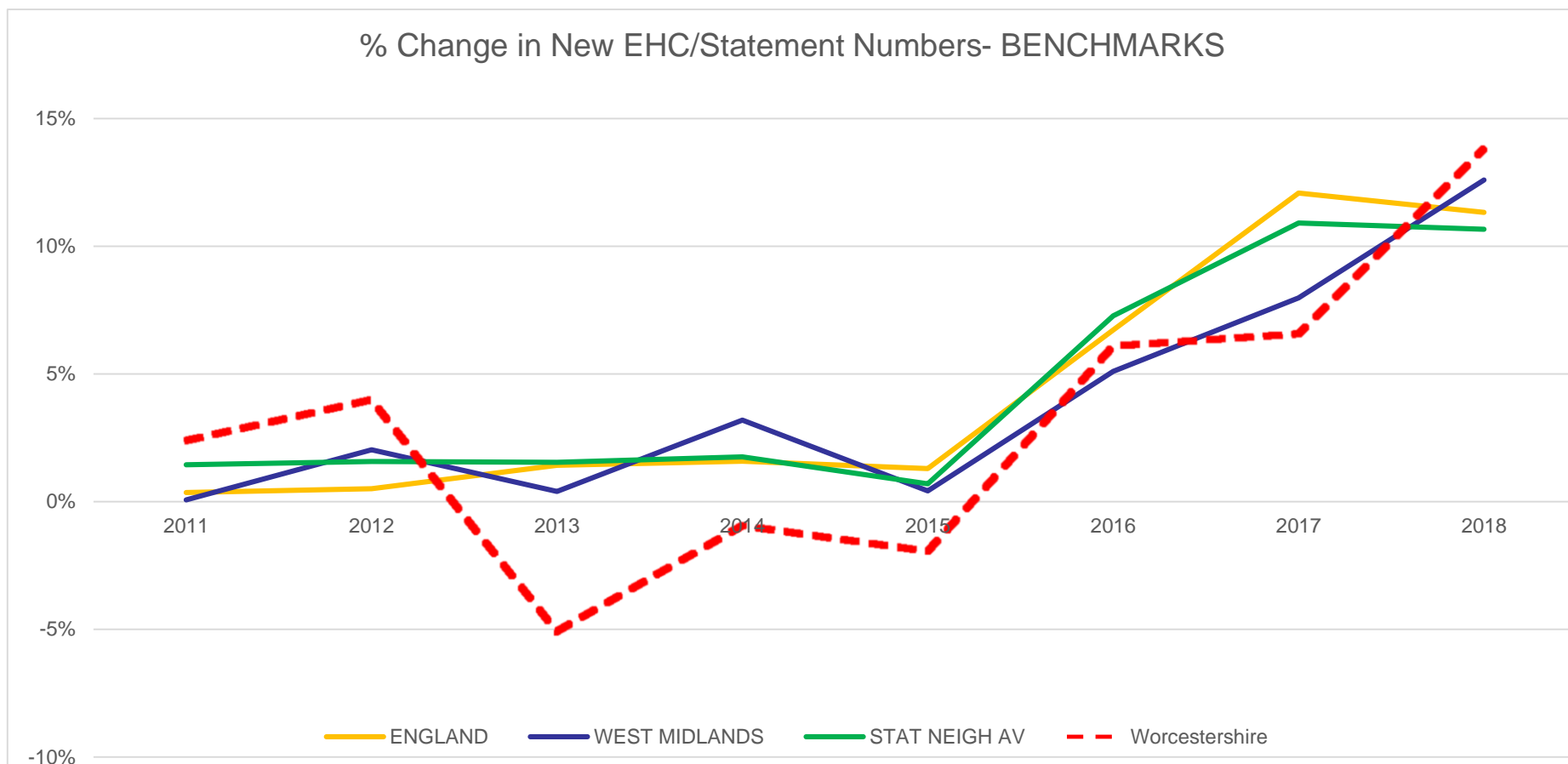
Overall Trend for EHCPs

- WCC is line with all benchmark trends with regard to percentages of total pupil population with EHCPs



Overall Trend for EHCPs

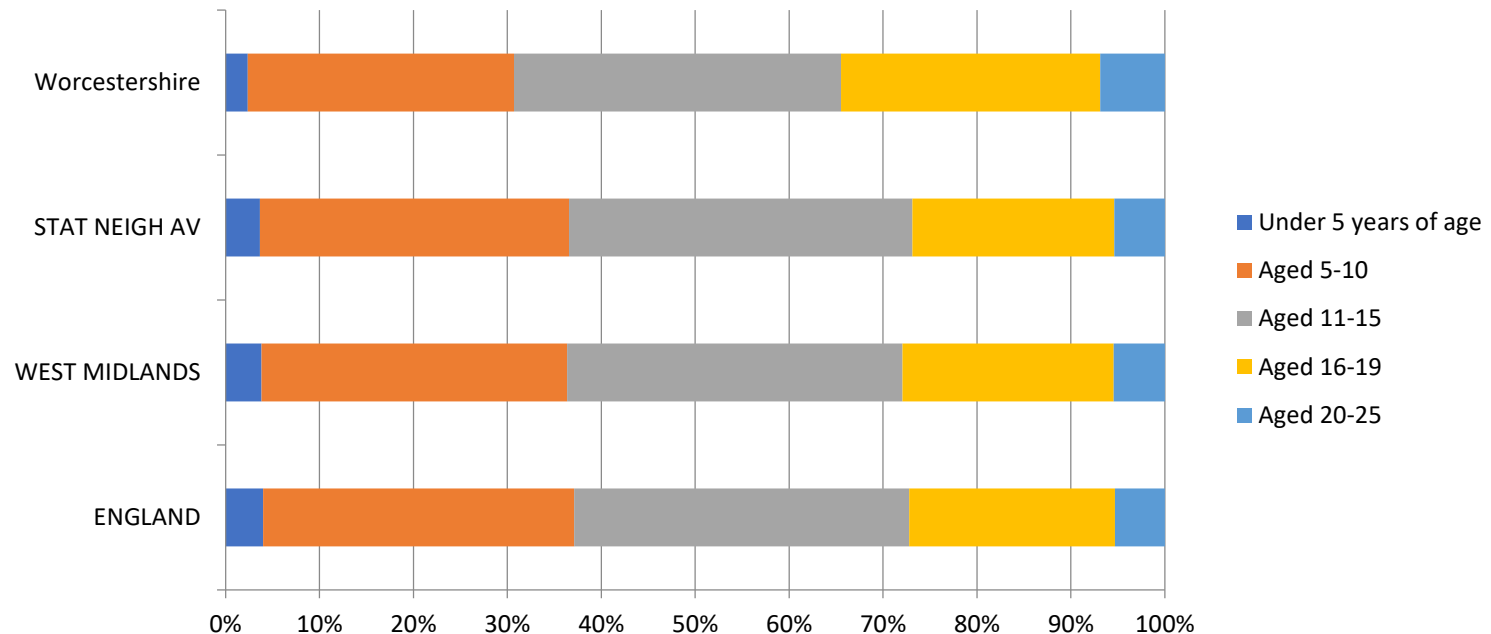
However, there is concern numbers are recently growing more rapidly:



Overall Trend for EHCPs

The greatest difference from the benchmark trends is post 16. The level of school age EHCPs is in line with or below expected norms.

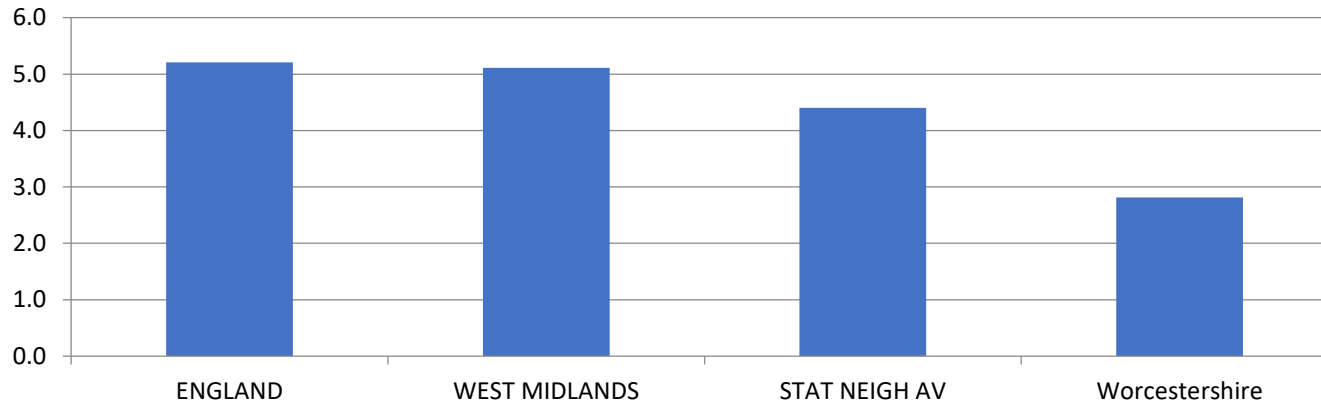
EHCPs by Age Group as % of Total



Overall Trend for EHCPs

However, there may be a hidden issue in the pipeline, reflected by the continuing acceleration in the rate of increase in EHCPs as identified earlier. The number of assessment requests turned down may suggest thresholds are not being enforced sufficiently rigorously.

**Number of initial requests for assessment for an EHC plan that were refused during the 2018 calendar year:
Benchmarks**

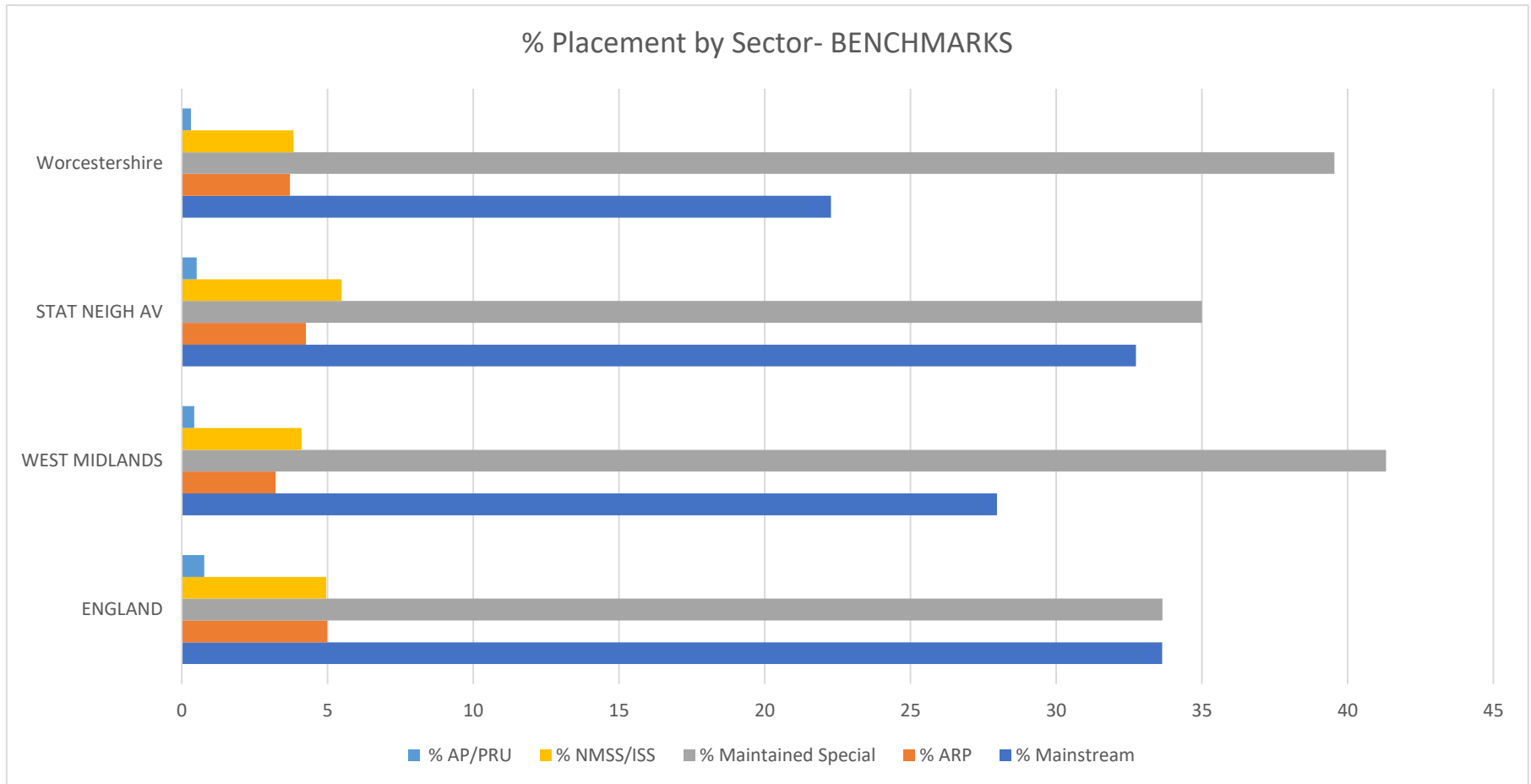


2. PATTERN OF PLACEMENTS IN SCHOOLS

Placements by Sector in 2018

- There is a clear disparity in the pattern of placements when compared to benchmark data
- WCC places substantially more pupils in specialist settings than any of the benchmark averages, 43.4% compared to an English average of 38.6%
- WCC places fewer pupils in mainstream schools, 22.3% compared to an English average of 33.6%
- Closing this gap would equate to c350 fewer specialist placements

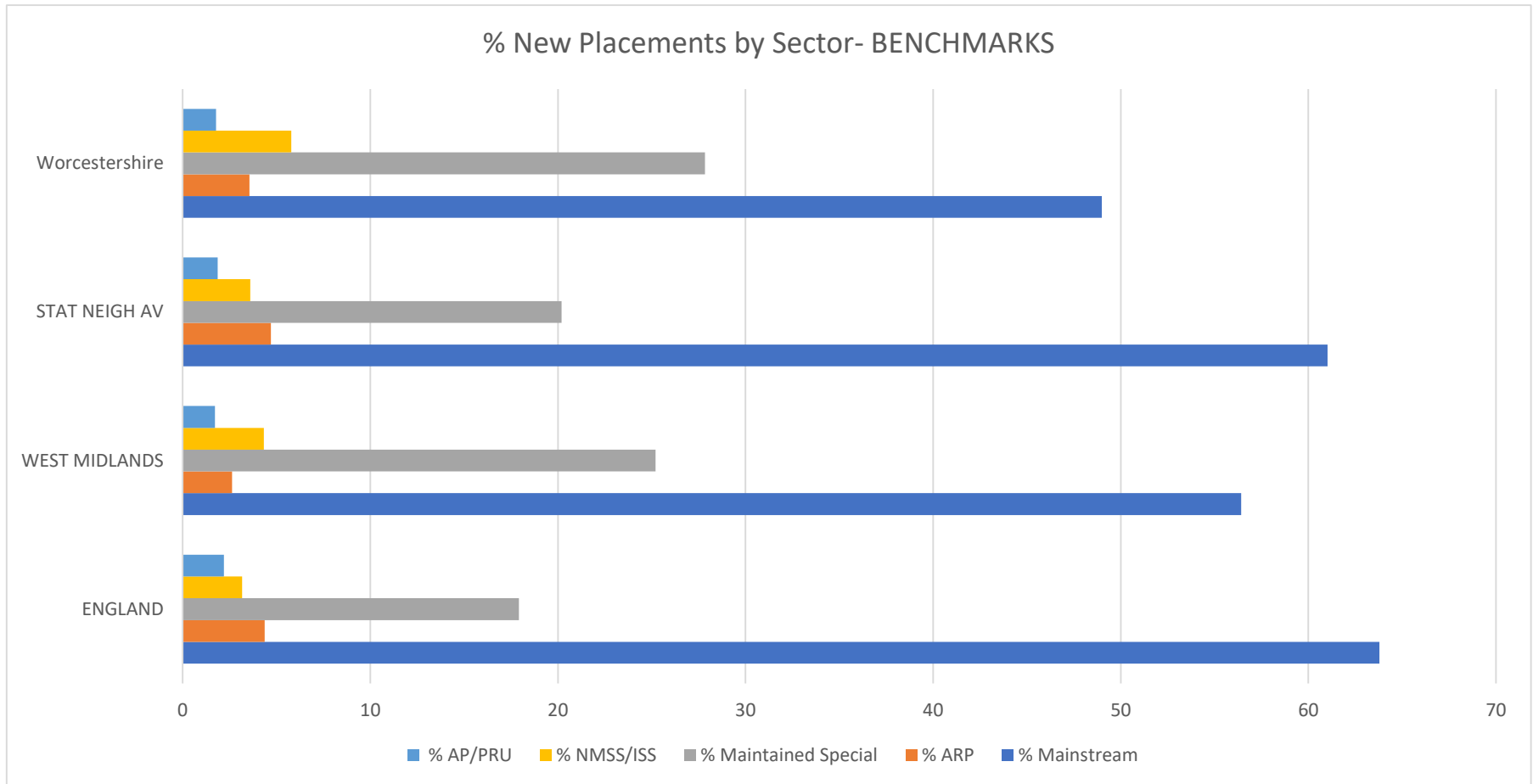
Total Placements by Sector in 2018



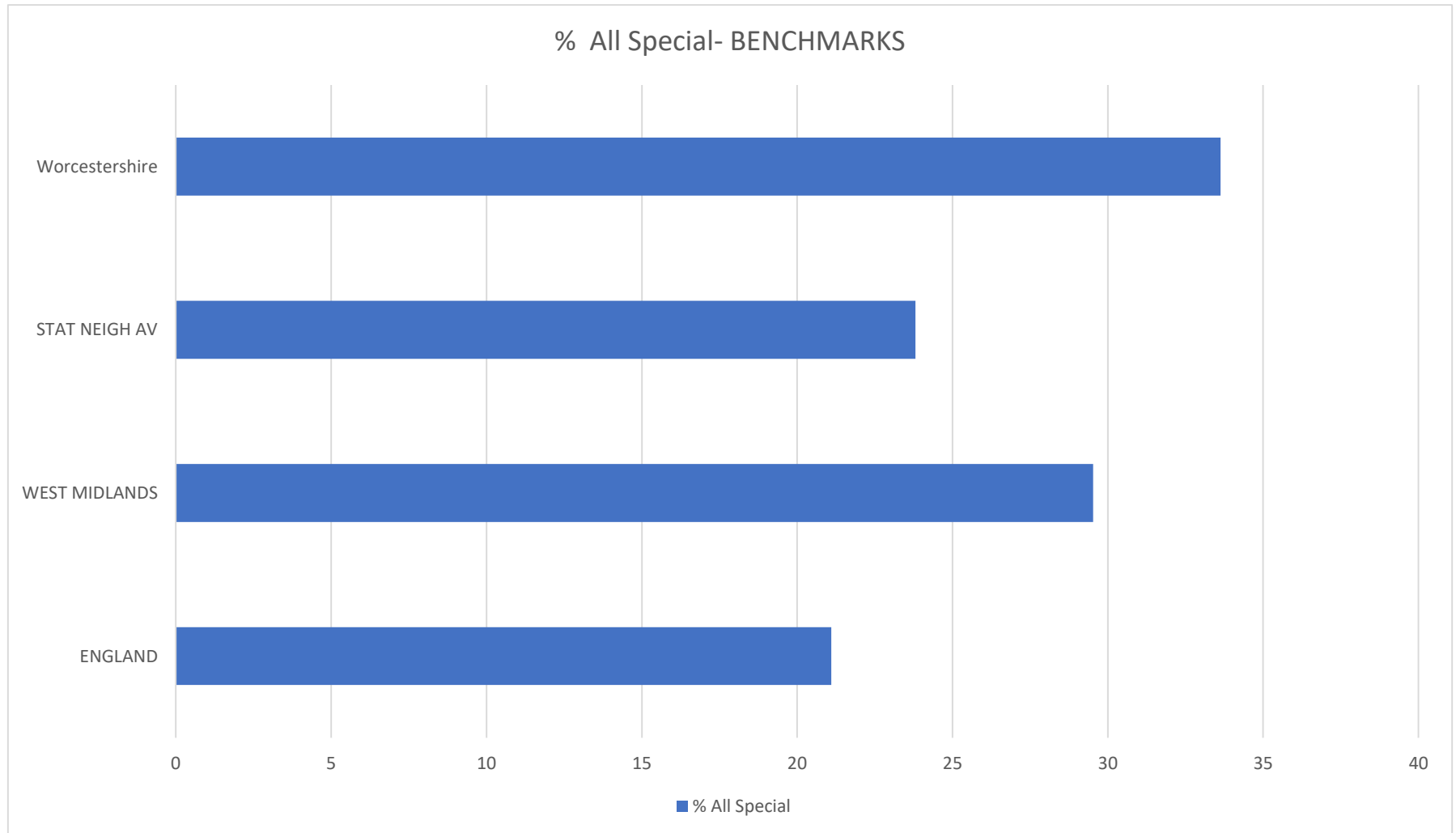
New Placements by Sector in 2018

- This disparity in placements is growing
- New WCC placements relied even more heavily on specialist settings: 33.6% compared to an English average of 21.1%
- WCC placed fewer pupils in mainstream schools, 49% compared to an English average of 63.8%
- WCC's reliance on Non-Maintained and Independent Special Schools is also growing which will exacerbate the financial issues: in Worcestershire 5.8% of new placements were in this sector compared to a national average of 3.2%

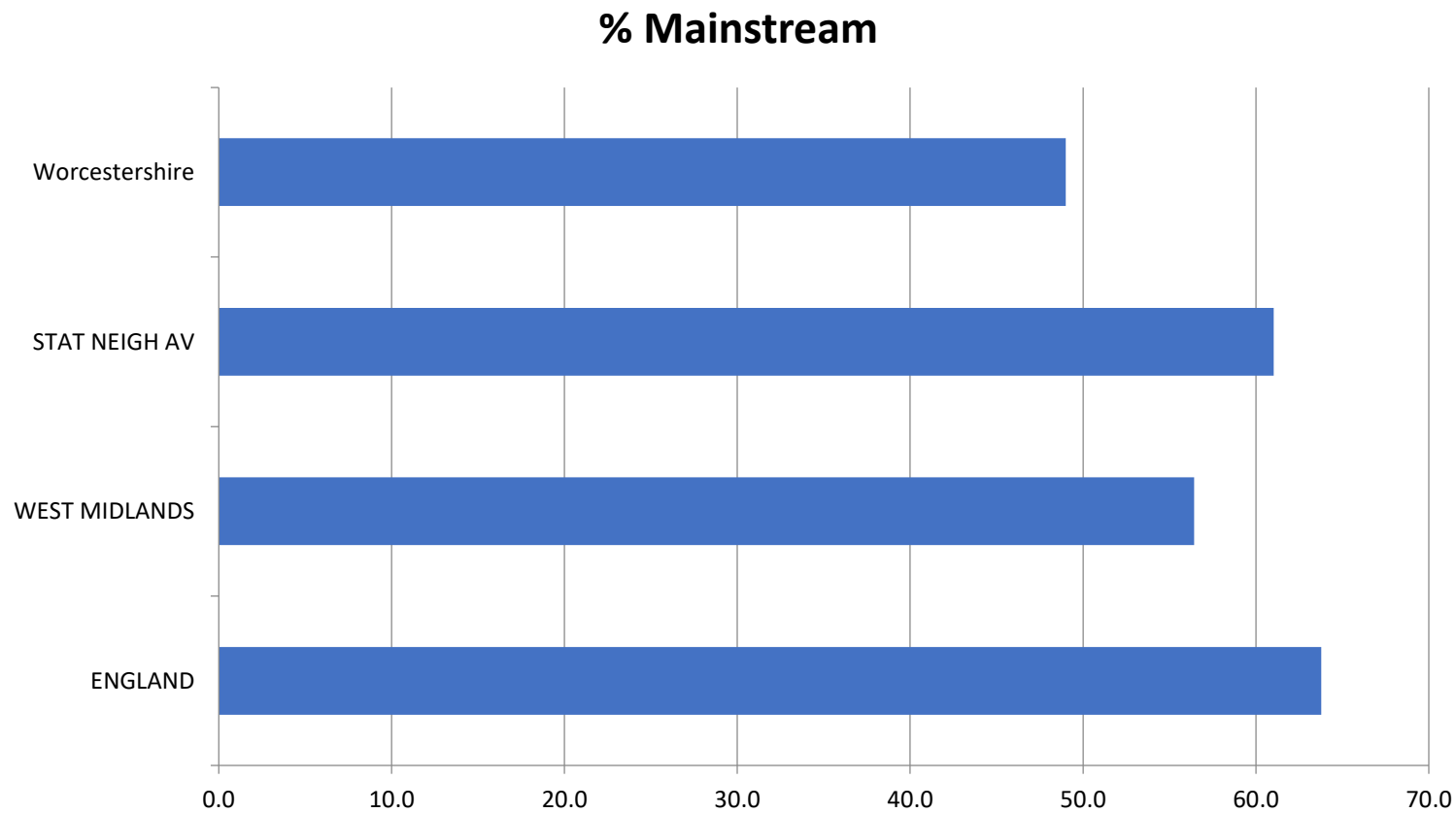
New Placements by Sector in 2018



Reliance on Specialist Placements: New EHCPs



% of new EHCPs in Mainstream Settings



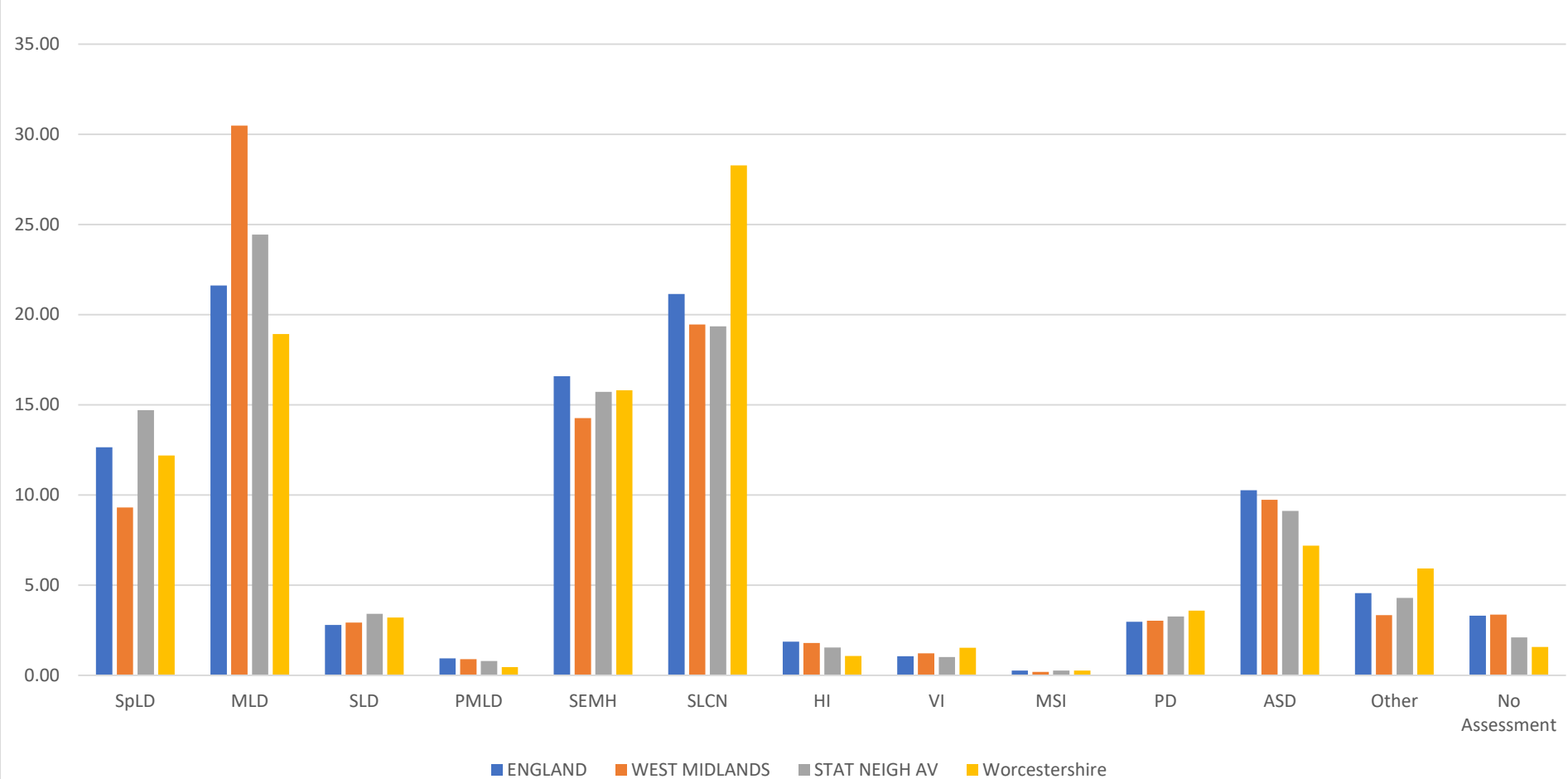
3. SEN IN SCHOOLS BY PRIMARY NEED

EHCPs by Primary Need

- This data is drawn from School Census returns and individual school judgments
- Nonetheless, it appears there is no marked disparity in categories in Worcestershire although SLCN numbers are slightly higher and MLD lower than benchmarks

EHCPs in Schools by Primary Need

All Schools EHCPs by Primary Need: Benchmarks

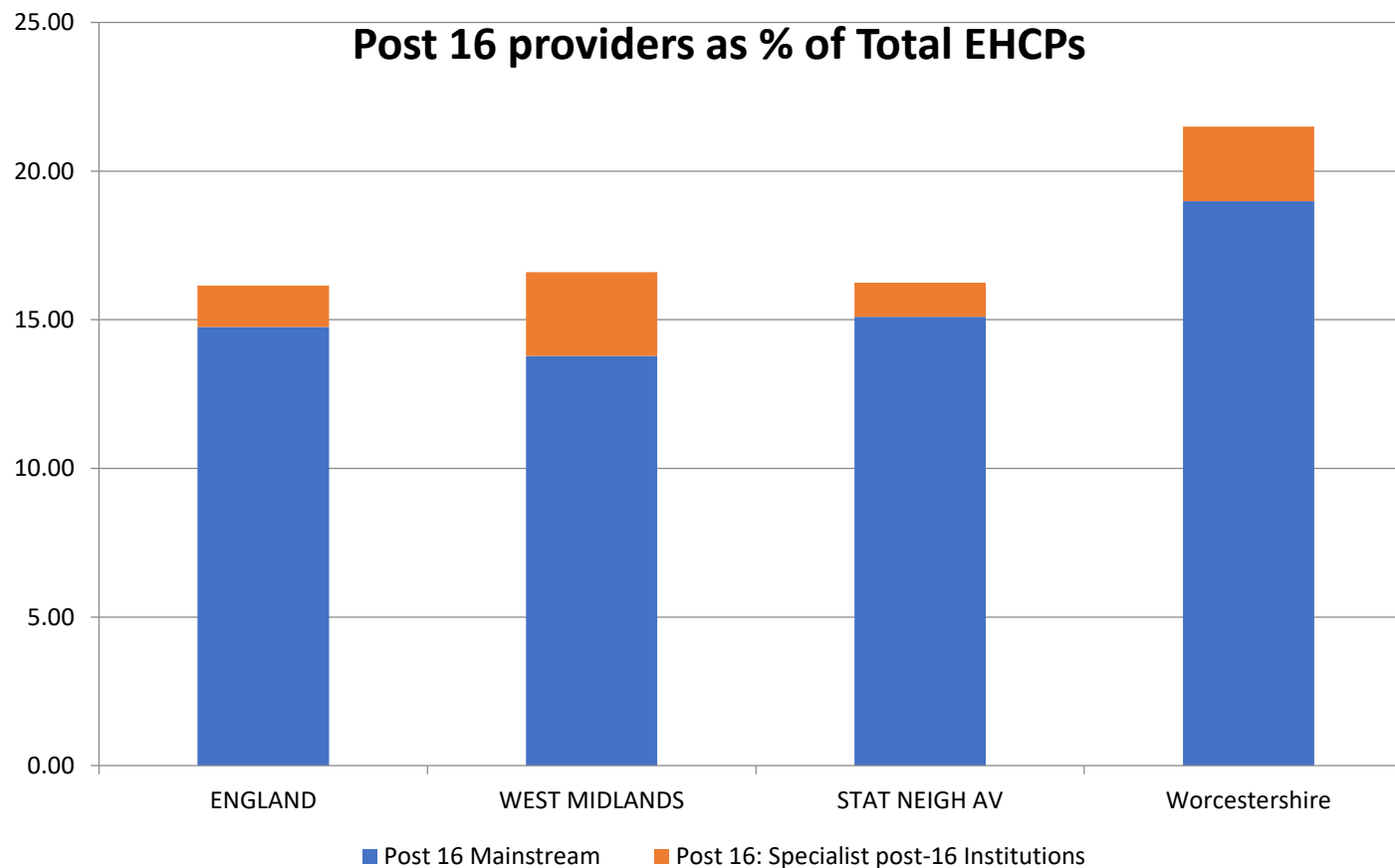


4. SEN 16-25

Proportion of EHCPs in Post 16 Provision

- As noted previously, Worcestershire has a high proportion of EHCPs in the post-16 sectors, i.e FE and Sixth Form Colleges: 21.5% compared to a national average of 16.2%
- This is also true of post-16 placements in Independent Specialist Providers: over double the national average at 2.5% compared to 1.4%

Post 16 Placements as % of all EHCPs

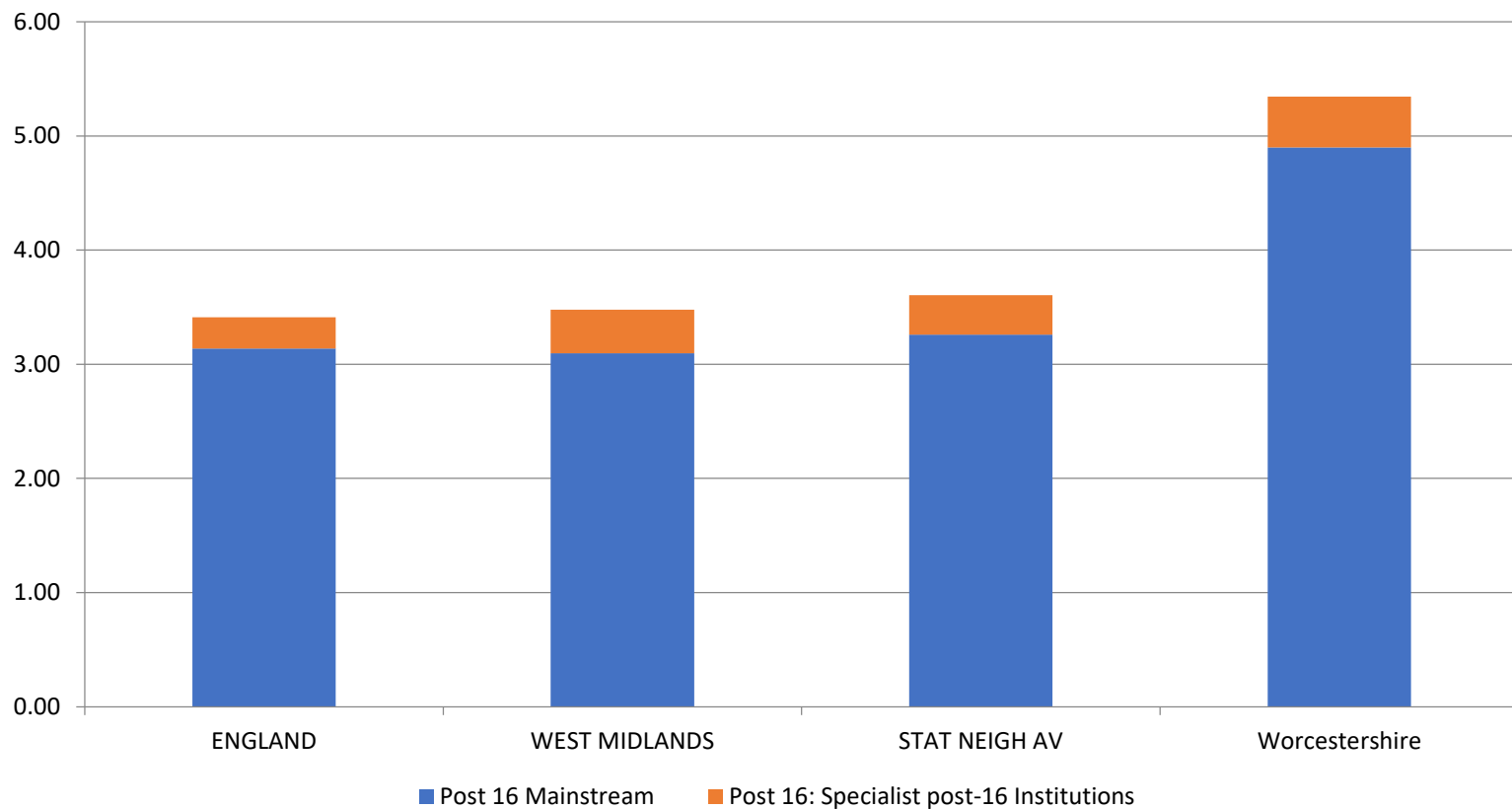


Proportion of New EHCPs in Post 16 Provision

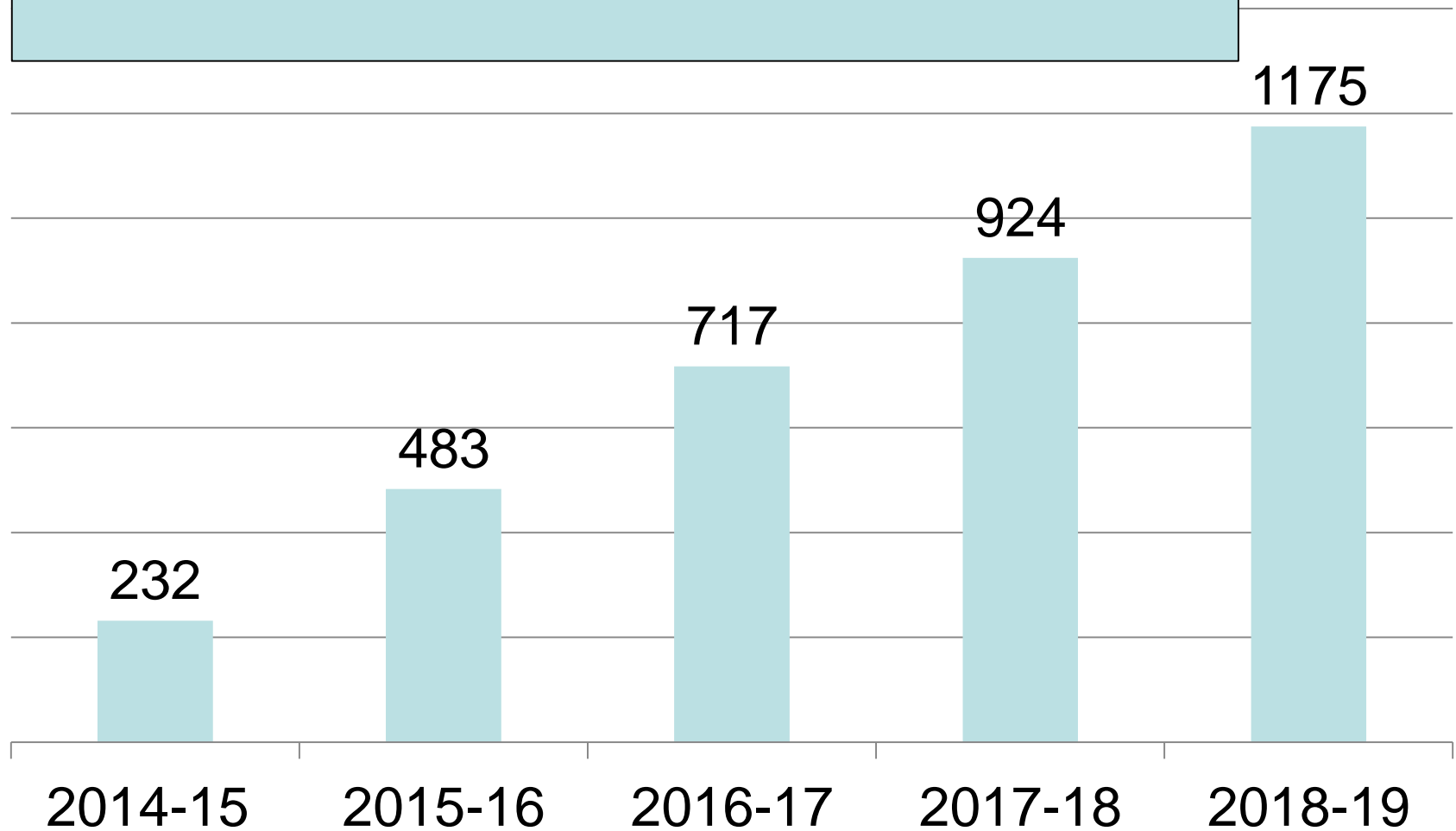
- Worcestershire has a high proportion of EHCPs in the maintained post-16 sectors: 5.3% compared to a national average of 3.4%
- This is also true of post-16 placements in Independent Specialist Providers: nearly three times the national average at 0.45% compared to 0.27%

New Post 16 Placements as % of all EHCPs

New EHCPs in Post 16 provision as % of Total EHCPs



Numbers of students with EHCPs 16 - 25



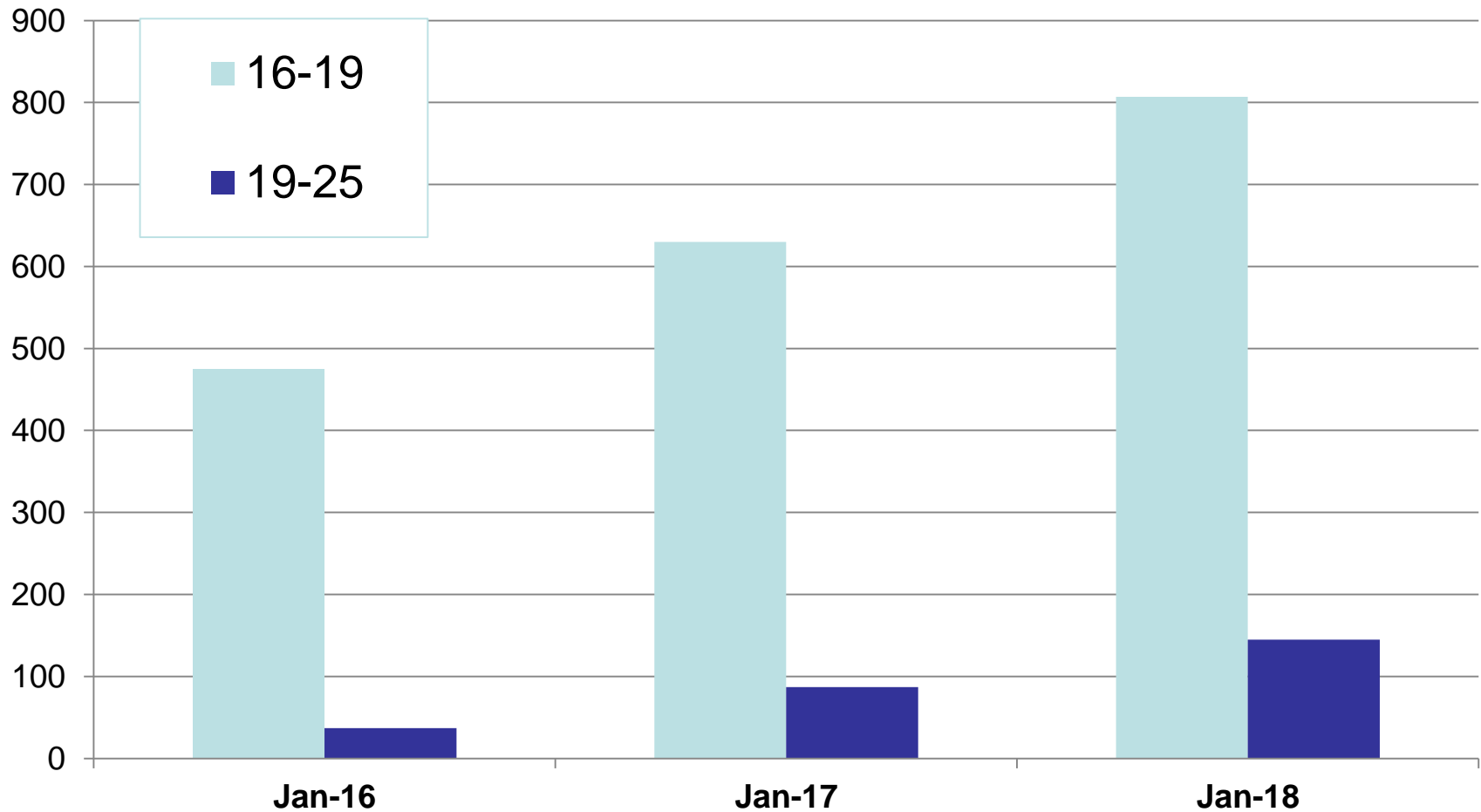
Numbers of 15-19 yr olds – over 5 years

Age	15	16	17	18	19
2014-15	254	269	111	76	23
2015-16	225	239	247	102	55
2016-17	257	233	236	237	94
2017-18	212	272	231	231	231
2018-19	242	234	270	238	224

Numbers of 19-25 yr. olds – over 5 years

Age	19	20	21	22	23	24	25
2014-15	23	8	5	8	1	0	0
2015-16	55	38	16	10	14	1	0
2016-17	94	58	46	19	10	17	0
2017-18	231	96	50	42	16	10	17
2018-19	224	221	101	52	42	15	12

Growth in numbers of Post 16 Students



Post 16 EHCPs as a percentage of all EHCPs

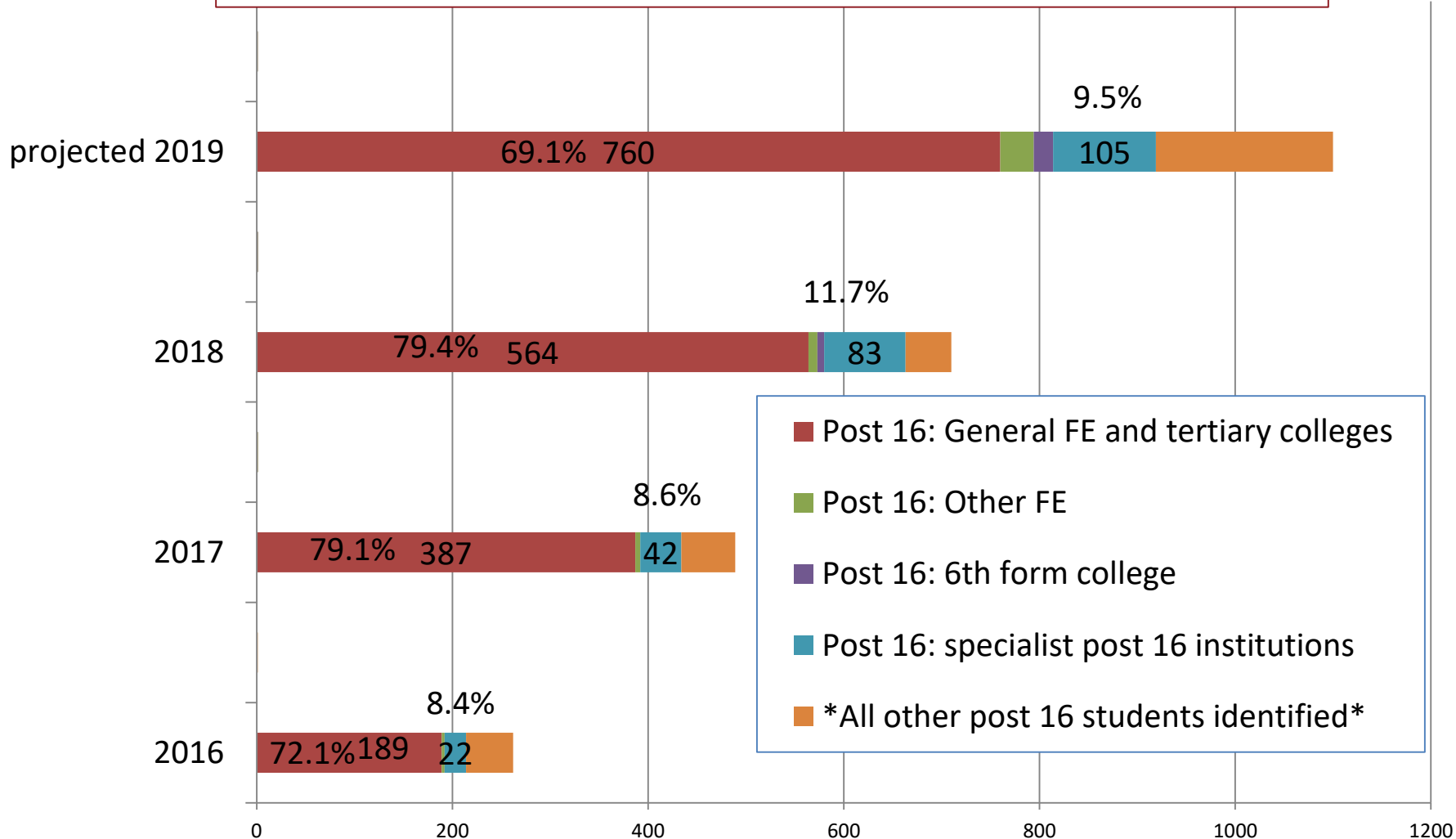
All EHCPs

- In Jan 2016, 19% of all EHCPs were for 16-19 year olds. In Jan 2018 this was higher at 26.3%.
- In Jan 2016, 1.5% were for 19-25 year olds. In Jan 2018 this too was higher at 4.7%.

First time EHCPs

- In Jan 2016, 3.7% of first time Plans issued the year before were for 16-25 year olds.
- In January 2018 this had increased to 9.3% of new Plans (with most being 16-19)

Placement Data 16+ (Jan 16 – Jan 19)



Range of Providers

- Those most frequently used, and/or which lead to greatest costs – (doesn't include Bright Futures, Beechwood, Fox's)

Placement	Type	Numbers
Derwen College	Specialist Post 16 Institution (SPI) – typically to 25 years	10
Glasshouse College		11
National Star		22
Queen Alexandra College		25
Kidderminster	FE College	28 (17-18)
Warwicks College Group		40 (17-18)
Heart of Worcester		203 (17-18)

Costs : total, av per student

	2016/17		2017/18		2018/19	
	No.	Av cost £	No.	Av cost	No.	Av cost
Derwen	11	17,039	15	33,112	10	50,700
Glasshse	7	39,284	11	53,425	11	57,787
Nat Star	10	56,174	17	63,346	22	61,777
QAC	8	19,539	22	21,625	25	17.080
Colleges of FE – Element 3 costs						
HoW	184	1,808	203	2,534		
WCG	8	3,375	40	7,402		
Kidmnstr	17	2,882	28	7,428		

High Cost Placements – Previous setting

New placements in ISPs 2014 - 2018

From School	1	2	3	4	5
Derwen	6	6		1	1
Glasshouse		3			2
Nat Star	8	2	7	2	
QAC			1	11	
Total	14	11	8	14	3

High Cost Placements – Impact – next steps

Need to explore destinations using different intelligence.

Using SEND data base of 37 students who left ISPs in July 2015 to July 18, with most having experienced three years of post statutory education study:

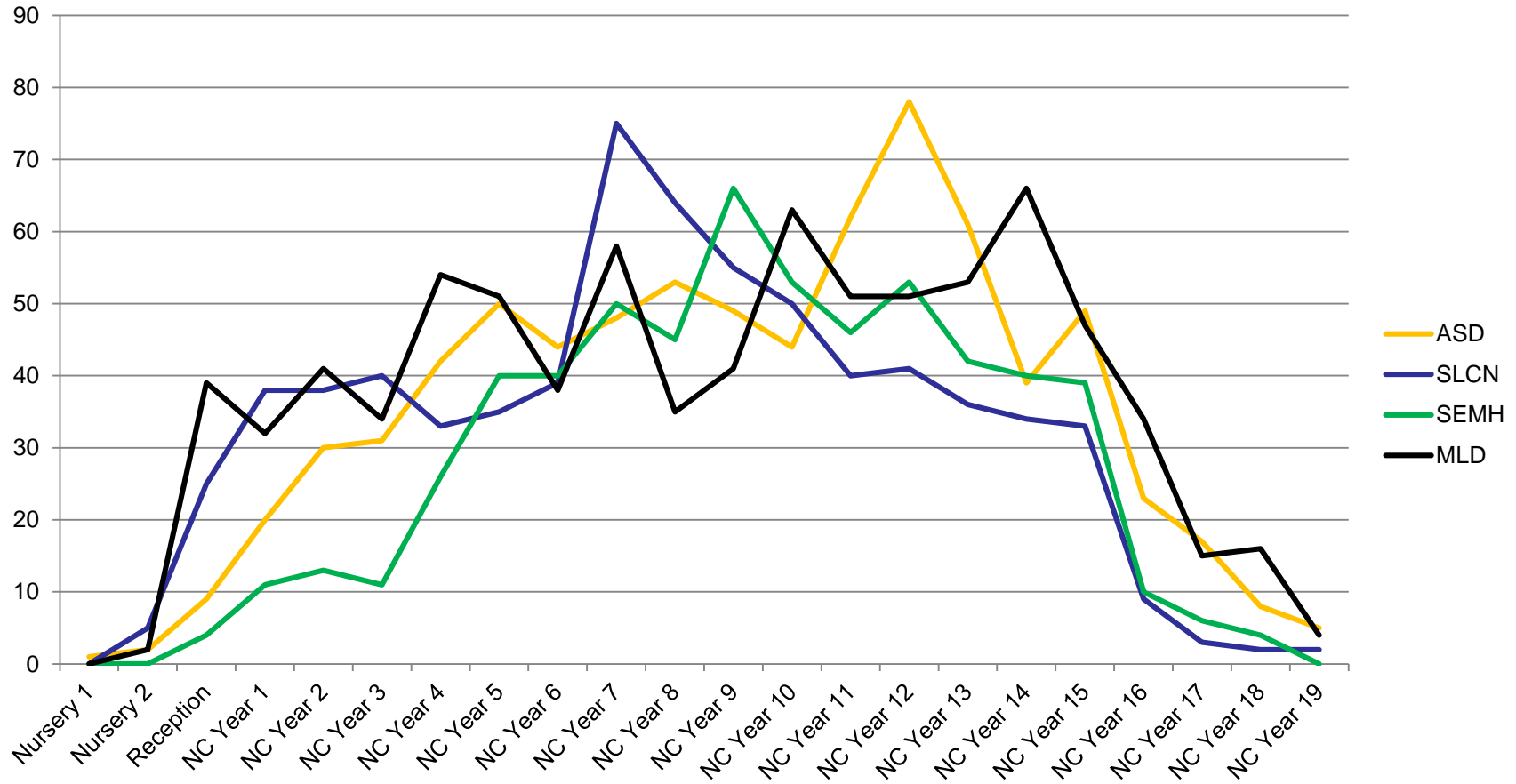
- 21 entered continuing education, at the same level, and of which the majority went to HoW
- 3 entered supported internship (MENCAP)
- 13 – no information beyond EHCP ceased

4. Analysis of EHCP data by provision, year group and primary need

Trends by Primary Needs

- We have analysed in detail the trends for the four categories of SEND with the greatest numbers: ASD, SEMH, MLCN and MLD.
- Two significant factors are apparent: a general increase across the board on transition from primary to secondary, and another climb in the trend lines post 16, although in different year groups.
- This latter phenomenon is probably related to the transition from the previous placement- e.g. those from special schools traditionally have 3 years in the sixth form

Major Primary Need by Year Group

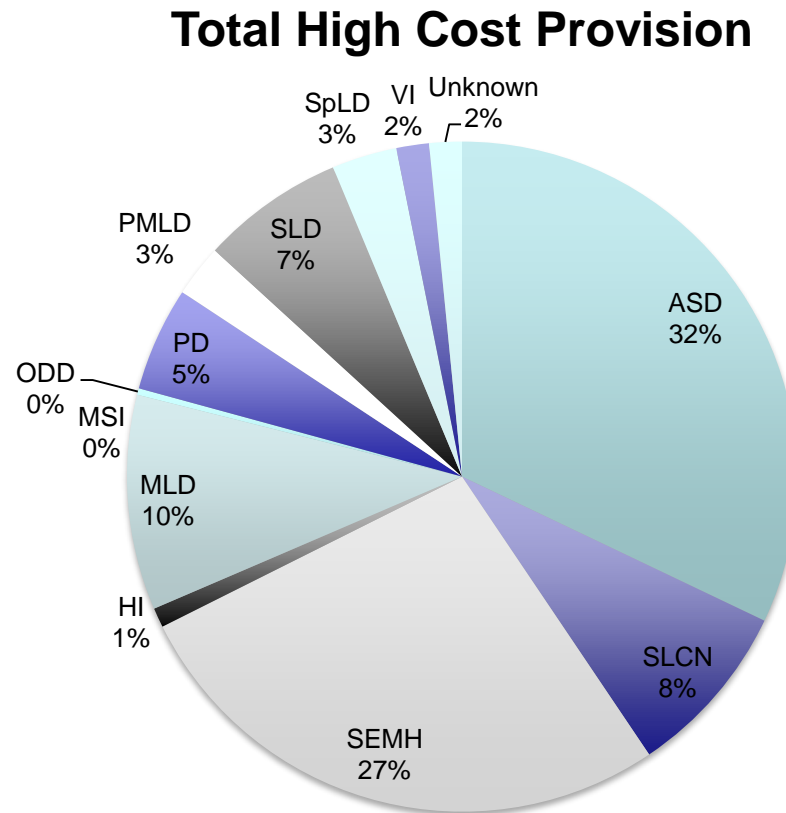


5. High Cost Provision

High Cost Provision

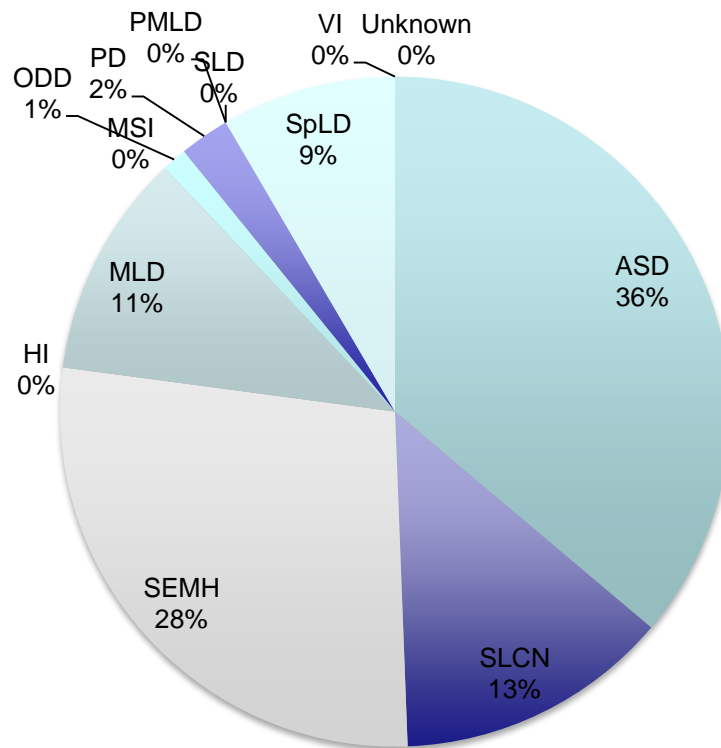
- Much of this detailed analysis at the level of individual EHCPs has focused on high cost provisions- mainstream independent schools, Non-Maintained and Independent Special Schools and ISPs in the post 16 sector, as these are the areas where the HNF block is under most pressure.

High Cost Placements by Need

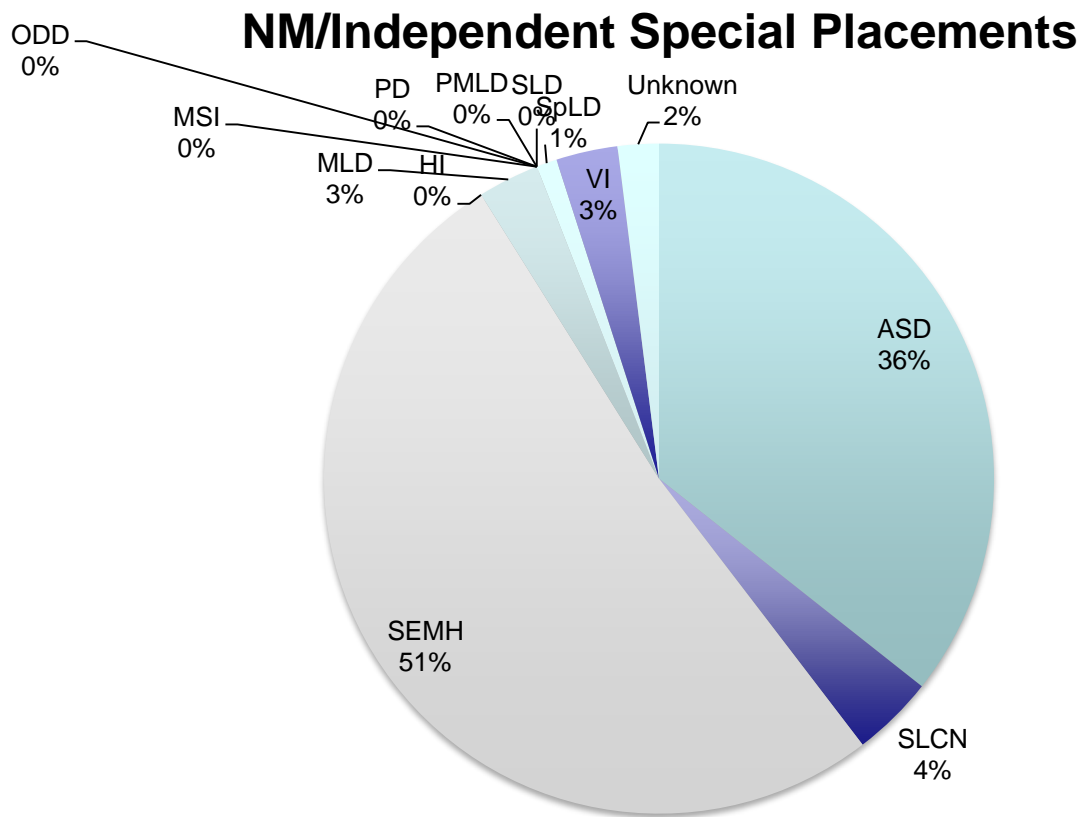


Mainstream Independent Schools

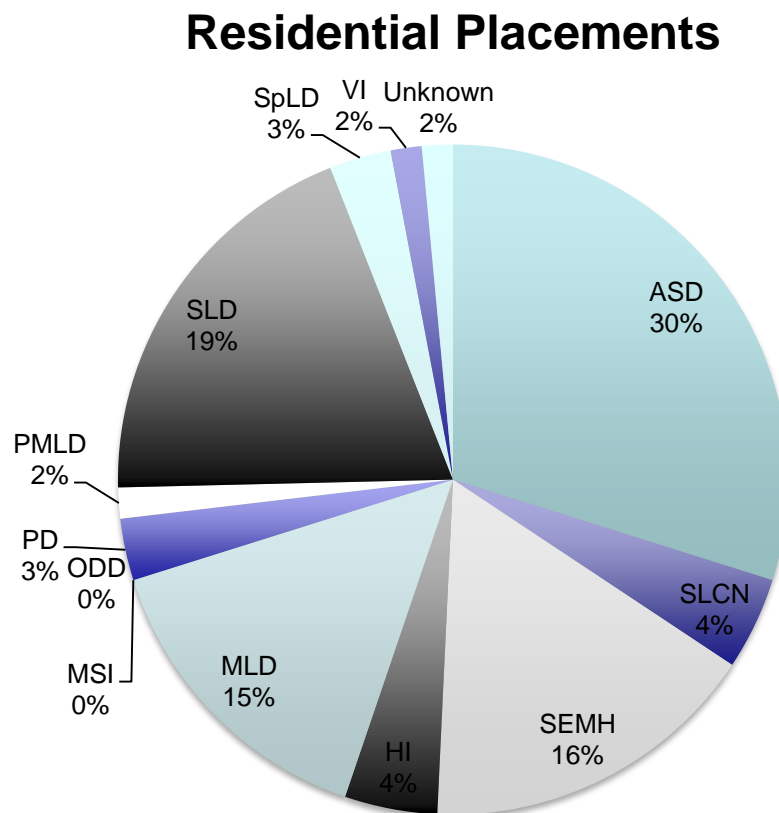
Mainstream Independent School Placements



Non-Maintained/Independent Special

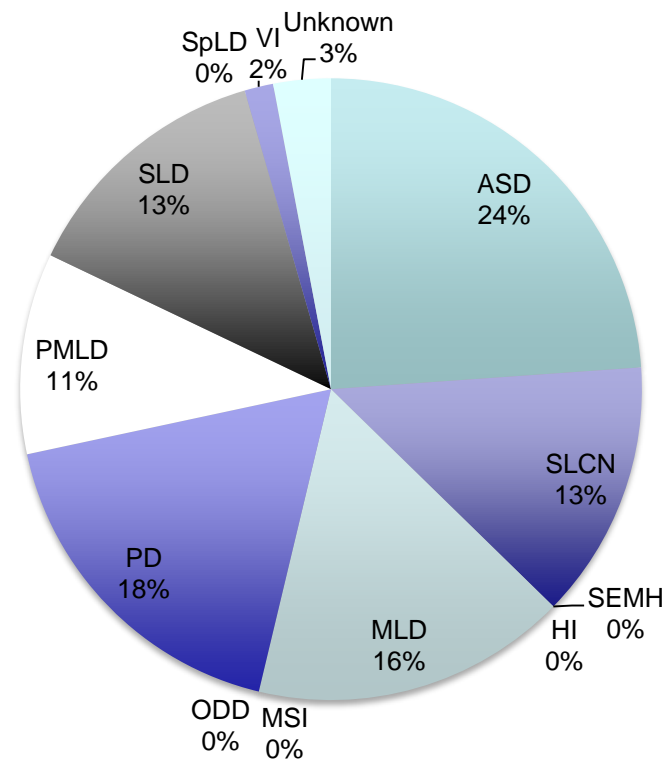


Residential Placements (All Ages)



Post 16 ISPs

Post 16 ISP Placements



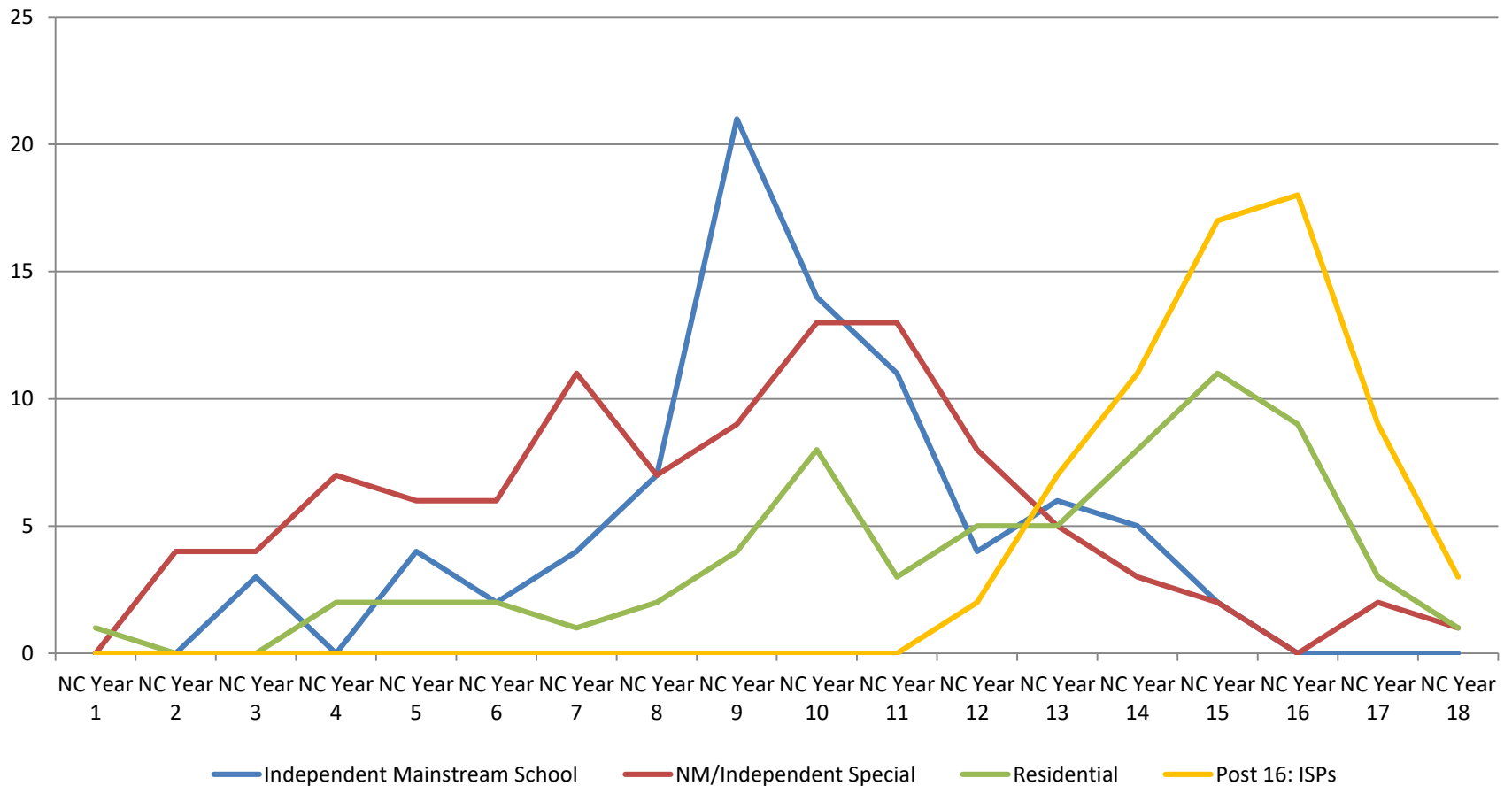
High Cost Placements by Need

- This analysis indicates that the major categories of need leading to high cost placements are ASD, SEMH and MLD.
- Further analysis is required to identify how local provision could be created to provide for these needs within local maintained sectors

High Cost Placements by Year Group

- This analysis is important for two reasons:
 1. It will enable us to roll forward an estimate of “committed costs”- i.e. accepting that existing placements will be difficult to change until transition points are reached;
 2. It will enable targets to be set for reducing future placements into such provision at those transition points
- This work is almost complete and will provide the basis for the financial forecast for the HN Recovery Plan

High Cost Placements by Year Group



High Cost Placements by Year Group

- The previous graph identifies placements by the current year group of students- not when they were first placed.
- It does however show that there are “bulges” in the current Years 9 and 14.
- It is vital that work commences now on the transition stages to prevent new placements in High Cost Provision removing the opportunity for savings that will come when the existing placements cease

Financial Strategy Overview

- The underlying structural deficit in the HNF block is running currently at c£9m. Some of this may be alleviated as Worcestershire gains from the planned movement from historic to the new HNF formula
- The deficit is almost equally split between overspends on top-ups in maintained provision (including inter-authority recoupment, NM/Independent school fees and 16-25 placements.
- This review has to date concentrated on the latter two as the overall strategy has to be to develop capacity in mainstream settings to allow maintained specialist provision to ease the requirement to use high cost provisions

Issues for the Development of Local Capacity

- There is currently a fragmented continuum of provision for ASD where specialist services are not available to build capacity and avoid case escalation. As a result, placement breakdowns lead to high cost placements. The MABs are not adequately equipped with specialist staff, facilities or the physical environment to provide for the current extent of need
- Specialist SEN support services have been concentrated on trading services and are not available to be deployed centrally to intervene to support maintaining mainstream placements
- There is an emerging tier of small independent schools and AP which offer high cost provision for young people with SEMH/ attachment difficulties which is generating parental pressure for such placements
- There is a significant weakness in a lack of proactive work on transition pathways- e.g. from Special Schools into FE, which is leading to an over-dependency on expensive ISP placements. This is exacerbated by independent careers advice supporting such placements.
- Work on joint commissioning for Preparing for Adulthood for young people with SEND has started but the development of joint provision is urgently needed to turn back the trend for rapidly rising numbers of new EHCPs for those leaving school.

NEXT STEPS

- The financial recovery plan is being developed on the basis of this analysis. It will identify “committed costs” rolling forward and set targets for new placements in line with the strategy of developing local maintained provision and reducing reliance on high cost provisions.
- This will identify the quantum available for supporting local maintained provision in the future and the funding scheme for mainstream and special schools will be costed and developed within this envelope.

AGENDA ITEM 9aii)
WORCESTERSHIRE SCHOOLS FORUM
4th JULY 2019

Report to the High Needs Recovery Task and Finish Sub-Group

18th June 2019

**High Needs Recovery Interim
Report:
Supplement**

Issues from data analysis

- Over identification of SEN (% at SEN Support) suggests need to look at application of thresholds for assessment
- Key areas: ASD, SLCN, SEMH and (to lesser extent) MLD
- Too few EHCPs placed in mainstream and over reliance on specialist places
- High level of placements and fees paid to mainstream independent schools
- High level of top-ups and fees paid to NM and Independent Special Schools & Colleges
- Increasing costs of engaging EP and specialist teacher support for strategic casework intervention through ad hoc commissioned work from Babcock Prime

Building Blocks for Recovery

- A system and structure that is able to manage demand through:
 - engagement with parents and carers and schools and settings.
 - decision making that enables the robust implementation of the Graduated Response
- An overt and co-ordinated approach to build capacity and skills in mainstream schools for more complex needs and in particular social and emotional / mental health and autism. This includes making available specialist advice through educational psychologists and specialist teachers in a way that targets the reduction of exclusions, and the impact of Graduated Response arrangements at school level.
- An approach that enables revenue and capital funding to work together to develop provision that meets the needs of CYP who are currently attending NM/ISS
- A much more focused and targeted approach to placement and EHC Plan review.

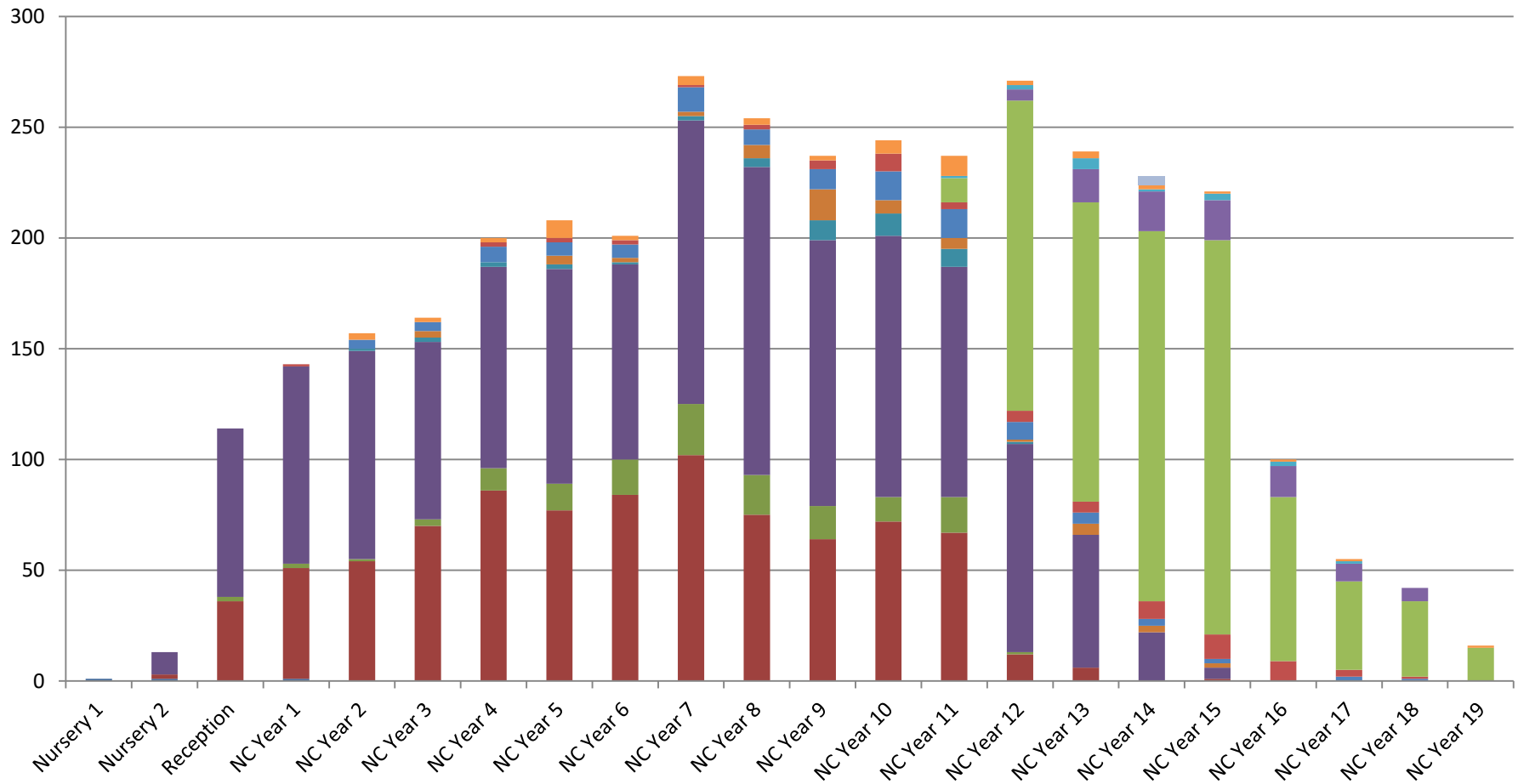
Overall Strategy

- Enable more professional dialogue with and support to schools at the Graduated Response stage
- This means providing access to expert and specialist advice in order to avoid case escalation
- Extend the role of moderation as part of EHC assessment decision making, to involve schools
- Rebalance continuum toward mainstream and maintained special provision
- Develop SEN capacity and skills in maintained schools/academies for ASD and SEMH – for all schools and through Resourced / Enhanced Provisions
- Reduce numbers of first time post 16 EHCPs substantially
- Reduce number of ISP placements

Finances: Outline

- WCC loses out from historical basis of funding but should benefit from progressive movement to HNF formula
- But structural deficit c£9m and will rise if identified trends not reversed
- Progress will depend on how quickly existing expensive placements can be replaced by local alternatives that can make the right type and level of provision

Existing EHCPs by Year Group



Unit Costs by Type of Provision

Mainstream maintained schools/academies (top-ups)	£4,400
Further Education Colleges (top-ups)	£5,600
Maintained/academy special schools (top-ups)	£7,750
Further Education ISPs (Fees)	£36,500
NM/Independent special schools (Fees)	£40,500

Illustrative Financial Effect of Rebalancing Continuum of Provision

TARGET	Difference in Unit		Effect
	Costs	Numbers	
NM/Ind SS to mainstream	£36,100	40	£1,444,000
Reduce Post 16	5,600	30	£168,000
Reduce ISP	£30,900	30	£927,000
TOTAL			£2,539,000

This is based on significantly reducing new placements in NM/ISS and Post 16, whilst factoring in expected leavers.

ACTIONS REQUIRED

Issues for the Development of Local Capacity

- There is currently a fragmented continuum of provision for ASD, where specialist services are not available to build capacity and avoid case escalation, and training for professionals and parents is ad hoc and insufficient. As a result, placement breakdowns lead to high cost placements. The MABs are not adequately equipped with specialist staff, facilities or the physical environment to provide for the current extent of need
- Specialist SEN support services have been concentrated on trading services and are not available to be deployed centrally to intervene to de-escalate potential difficulties and challenges in schools or to work in a manner that is overtly geared to supporting schools to sustain pupils with SEND in their local schools.
- Placement fragility in local special schools is not usually characterised by the involvement over time of LA commissioned EPs and specialist advisers.
- There is an emerging tier of small independent schools and AP which offer high cost provision for young people with SEMH/ attachment difficulties and which is generating parental pressure for such placements and school demands for payment towards their costs of arranging such non state-funded AP support.
- There is no immediately available access to capital funding to support the development of environmental adaptations to mainstream schools. Too often placements of high needs pupils on autism spectrum fail because of lack of suitable learning spaces.

The role of specialist fieldwork services in managing down case escalation and supporting sustainable placements in Worcs mainstream and special schools

- Systemically, there are and have been difficulties in ensuring that the Council has the ability to manage down case escalation, build parental confidence and strengthen mainstream provision because SEND fieldwork services have been contracted through an alternative provider and the contract did not build in a key feature of historical practice that enabled:
 - All schools to have a named EP and a defined number of visits a term / year, whose purpose was to enable the provision of advice, assessment, reflection, observation, engagement with parents and other professionals – all of these services were at no cost. They are now only available through a traded service.
 - The same applies to specialist teachers and in particular those who work in the area of ASD
 - Nationally the funds for specialist outreach or advisory services for SEMH (once known as BESD) was part of the GAG (General Annual Grant) when a school became an academy, and over time the budget became decimated by this approach with most LAs, including Worcestershire, delegating this budget across schools

Preparation for education extending to some CYP who are over 18 years of age.

- There has been a lack of attention to transition pathways- e.g. from Special Schools into FE, arising from lack of staffing capacity in the central SEND service, and the dis-establishment of the Connexions Service that included specialist advisers for SEND.
- Since this time, numbers of placements in expensive ISP placements have grown substantially. This is exacerbated by independent careers advice being dislocated from the Council, its priorities and its ongoing work so they cannot meaningfully explain the full range of provision available, or understand the bespoke support arrangements that can be put in place. LA assigned IAG is needed as an integral part of the work jointly undertaken by the YAT and the SEND Service.
- Work on preparing young people with SEND for adulthood starts in school but the Council has not sufficiently developed a new infrastructure that links with local work related experience and employment activities. The development of new provision is urgently needed to turn back the trend for rapidly rising numbers of new EHCPs for those leaving school.

Budget Planning & SEND Improvement

- Are inextricably linked
- Securing SEND Improvement will be unsustainable without refocusing HN resources over time and additional investment to support change
- Financial and management information systems need to be more closely aligned so that more people become more aware of how HNB is being spent and why

ACTIONS REQUIRED: General

- Scope the nature of school and setting level support from educational psychologists and specialist teachers, so that this will help to implement the Graduated Response and avoid case-escalation.
- Explore the nature of service needed to reduce escalation to exclusion (see comments on EPs and specialist teachers above)
- Improve management information and data analysis to inform future decisions re provision
- Secure greater transparency in the focus of budget headings in the HNB, so that functionality and priority is overt, and accountabilities more defined
- Set out a nominal, Zero based budget for the HNB, that will enable the tracking and monitoring of spend against strategic priorities linked to SEND Improvement, and monitor closely with professional services

ACTIONS REQUIRED: Monitoring, review and decision making

- Decision making on the statutory SEND process should include:
 - Early alerts for potential OOA, and the development of an approach to ensure an in-county alternative
 - More intensive case monitoring at the point of consulting with schools for placements with schools and settings
 - Increase skill levels in decision makers
 - Linking placement outcome profiles to performance management
- Introduce placement review at transition stages in all special schools with an expectation of considering mainstream
- Target attention to casework from Year 9 onwards so that every student has a clear progression plan and parents understand the full range of local provision.
- Work with Local FE settings and other providers to develop locality post 18 training and education provision
- Targeted work on OOA placements– attend reviews and plan with providers for relocalisation / reintegration

ACTIONS REQUIRED: Specific SEND Related Areas

- Further develop training and development support building on SEND T&D Network (e.g.: AET training to next level for all settings and ensuring all SENCOs are on training programmes)
- Ensure the emerging issue of anxiety and non-attendance is considered as part of approaches to develop accommodation in bases and reduce dependency on OOA
- Reduce current “normalisation” of independent AP by schools, with an approach to build capacity in schools for CYP whose mental health difficulties and/or disruptive behaviours can lead to exclusion
- Identify capital requirements for the improvement of specialist provision such as MABs and to enhance accommodation in special schools
- Ensure the current 16-25 project is aligned with the HNF plan and in particular:
 - Build capacity in local FE Colleges to reduce reliance on ISPs
 - Ensure robust joint commissioning arrangements are in place with Health and Social Care
 - Continue to improve collaborative case planning and case management between the SEND Service and the Young Adults Team

Next steps

- Are key messages clear?
- Prepare written report for Schools Forum
- Prepare nominal Zero Based budget for HNB
- Set out indicative targets and financial implications
- Discuss with Chief Officers and Elected members
- Model top-up allocations to enable predictions and propose new bands and monitoring processes
- Rewrite and update the HN funding scheme

DRAFT NOTES OF THE WORCESTERSHIRE SCHOOLS FORUM (WSF)
HIGH NEEDS TASK AND FINISH GROUP
18th JUNE 2019

IN ATTENDANCE

WCC

Penny Richardson (PR) (Chair) – Interim Group Manager SEND
Andy McHale (AMcH) – Service Manager Funding and Policy Education and Skills
Fran Kelsey – Adult Services Lead Commissioner LD

External Support

David Monger (DM) – SEND Consultant

WSF

Nathan Jones (NJ) – HT Meadow Green Primary
Viv Cranton (VC) – CEO The Black Pear Trust
Deb Rattley (DR) – HT Chadsgrove Special School
Bec Garratt – HT Wyre Forest Special School

APOLOGIES

Nick Wilson (NW) – Interim Assistant Director Education and Skills
Caroline Brand (CB) – Finance Manager Children, Families and Communities
Jeff Robinson (JR) – Governor and Chair Hanley and Upton Educational Trust
John Bateman (JB) – Governor Aspire AP
John Lines (JL) – SEND Heart of Worcestershire College
Lorraine Petersen – WSF Governor SEND representative

1. MATTERS ARISING FROM THE NOTES OF THE MEETING HELD ON 14th MAY 2019

1.1 Secondary sector representation raised again at the Worcestershire Schools Forum (WSF).

2. HIGH NEEDS RECOVERY

2.1 Core Context

- (a) Data paper tabled by DM to be circulated to the Group.
- (b) Trends discussed including: -
- Under 5s support provided in settings and schools without an EHCP and special schools often used for assessment.
 - Post 16 much higher % placements in WCC and for ISPs.

2.2 Interim Report

(a) Supplement paper tabled by DM to be circulated to the Group.

(b) Issues from Data Analysis

- Need to look at application of thresholds for assessment.
- Over reliance on specialist places which impacts on capacity and resourcing.
- Excessive cost of placements in Non-Maintained and Independent provision.
- Schools are having to procure and fund own EPS support.

(c) Building Blocks for Recovery

- Recognition of significant increase in mental health issues.
- No national link up between revenue and capital funding.
- Accommodation in any new build does not provide for 'quiet space'.

(d) Overall Strategy, Finances and Budget Planning

- Lack of consistency in moderation of EHCPs.
- Well above national average comparators on first time Post 16 EHCPs.
- Significant number of ISP placements are expensive residential.
- Structural deficit of £9m and potentially rising – over £6m in independent and post 16/19 provision alone.
- Unit costs in out county significantly higher so need to reconfigure as placements finish.
- Could potentially 'clawback' £2.5m if new placements are in house but not an easy solution.
- Endeavoring to develop a new infrastructure preparing for adulthood – work experience and employment activities.
- Current dislocation between SEND management and the process for financial forecasting.
- Current admissions issues e.g. lack of consistency in process for placing HN pupils, special schools should not be requested to admit pupils in O, U and E1 bands, etc.
- Requirement for investment in preventative services.
- Consideration of a zero-based budget for the HN Block.

3. REPORTING TO THE WSF

3.1 PR/DM to produce a draft recovery plan using the DfE template and other backing papers for consideration by the WSF at its meeting on 4th July 2019.

DATE OF FUTURE MEETINGS TBC

REPORT TO THE WORCESTERSHIRE SCHOOLS FORUM (WSF)
HIGH NEEDS UPDATE – DRAFT RECOVERY PLAN

1. PURPOSE

1.1 To discuss with the WSF the current position on the draft recovery plan issues following the High Needs Task and Finish Group meetings.

1.2 For the WSF to consider the recommendations on the next steps.

2. FINANCIAL BACKGROUND

2.1 The National Picture

(a) The SEN Reforms following the 2014 Children and Families Act have had a profound effect both nationally and locally. As the December 2018 ISOS report, "Have we reached a 'tipping point'? Trends in spending for children and young people with SEND in England", stated, between 2014 and 2018 the number of children and young people across England with an EHCP or statement of SEN increased by 35% from 237,111 to 319,819. This is in stark comparison with the previous five years (2010 to 2014) in which the number of children and young people with statements / EHCPs increased by just 4%.

(b) As a direct result of this growth, there has been a marked increase in the percentage of councils reporting that their high needs block expenditure has exceeded their own high needs budgets – from 39% in 2014-15 to 55% in 2016-17. Although the high needs spending gap is growing the total amount transferred in has decreased since 2016-17. This probably reflects both the 0.5% cap on transfers from the schools' block and the fact that increasingly councils are reporting that their DSG reserves are now exhausted.

(c) There is considerable national pressure on the DfE to review the national quantum for HN funding, but as yet there is no indication of any change for the future. The DfEs new HN NFF introduced in 2018-19, which allocates the national quantum between LAs, is currently being implemented using a transitional factor for historical spend and also a capping mechanism to protect those who stand to lose out from the new arrangements. Worcestershire County Council (WCC) has gained from the HN NFF but this has not kept pace with demand. However, details of any further progression in HNF formula funding are not yet available so it is difficult to be precise in estimating likely future HN funding allocations for WCC.

2.2 The WCC Position

(a) The High Needs Funding Block has been in deficit since in both 2017-18 and 2018-19. At the end of the last financial year, the gross overspend was £9.0m and £7.7m net after applying WCCs share of the additional £250m announced in December 2018 by the Education Secretary.

(b) The majority of the gross overspend related to: -

- Non-Maintained and Independent Special School Fees - £4.1m.
- Post 16 and Post 19 provision - £3.1m.
- Maintained mainstream school/academy top-ups and alternative provision - £1.8m.

(c) The draft DSG Reserves position as at 31st March 2019 is as follows: -

	£m
DSG Reserves as at 31 st March 2018	5.232
<i>Addition to reserves</i>	
DSG Blocks underspend	1.298
DSG Prior years grant	0.578
High Needs Overspend (£8.972m less additional DSG grant of £1.232m)	(7.740)
Deficit on DSG Reserves	(0.632)

There is further detail on this under **Agenda Item 11**.

(d) Under DFE guidance, all LAs that have a cumulative DSG deficit of 1% or more at the end of a financial year are required to submit a recovery plan outlining how they will bring their deficit back into balance in a three-year time frame. WCCs 1% of the gross DSG is approximately £4m. Therefore, WCC is not required to submit a formal recovery plan.

(e) However, there is a significant structural deficit of at least £9m going forward within the HN Block that will need to be addressed, particularly as the DSG reserve from previous years has fully utilised.

3. THE HIGH NEEDS FUNDING BLOCK 2019/20

(a) WCCs HN Block DSG for 2019-20 is £51.965m gross and £43.928m net after academy and post 16 recoupment. This represents an increase of £2.1m over 2018-19 as a consequence of year 2 of the NFF. WCC will also be allocated an additional £2.5m over 2018-19 and 2019-20 as its share of the national £250m.

(b) This will support the budget but is well short of the structural deficit and the likely increase in demand. The HN budget issue is a national one requiring a national solution.

4. DATA ANALYSIS

4.1 The High Needs Funding Sub-Group has considered in detail analyses of data that identified the key factors that have caused WCC a greater challenge in balancing the HNF budget than most other local authorities. These data packs are provided under **Agenda Items 9ai) and 9aii)**.

4.2 The main factors identified were: -

- The over identification of SEN (% at SEN Support), which suggests a need to look at application of thresholds for assessment.
- The substantial growth in certain categories of need: ASD, SLCN, SEMH and (to lesser extent) MLD.

- Too few children and young people with EHCPs are placed in mainstream schools/academies, leaving the WCC with an over reliance on specialist places.
- There is a relatively high number of placements and level of fees paid to mainstream independent schools.
- There is a relatively high level of top-ups and fees paid to NM and Independent Special Schools & Colleges.
- The number of EHCPs, and particularly new EHCPs, in the 16-25 age range is markedly higher than national, regional and statistical neighbour averages.

5. OBJECTIVES FOR THE HN RECOVERY STRATEGY

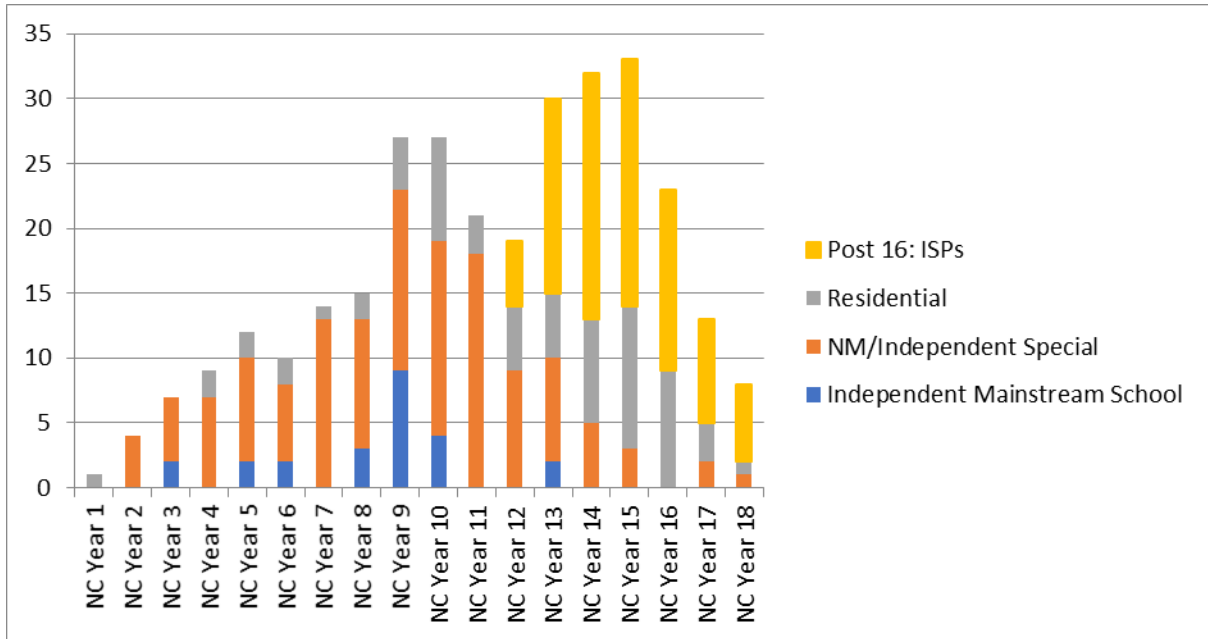
5.1 The pattern of placements clearly needs to be rebalanced away from the most expensive specialist provision by developing the capacity and capability of our own mainstream and specialist provision to provide for these needs. To do this, action is needed to: -

- Enable more professional dialogue with and support to schools at the Graduated Response stage. This means providing access to expert and specialist advice, in order to avoid case escalation.
- Extend the role of moderation as part of EHC assessment decision making, to involve schools.
- Develop SEN capacity and skills in maintained schools/academies for ASD and SEMH – for all schools and through Resourced / Enhanced Provisions.
- Reduce numbers of first time post 16 EHCPs substantially.
- Develop provision with local FE Colleges to reduce the number of ISP placements.

5.2 Any financial modelling for the Recovery Plan needs to assume: -

- That, as the High Needs Funding Formula moves away from historic funding levels, WCC should gain from the HN NFF but this cannot currently be quantified.
- That the numbers provided for in mainstream and maintained special schools/academies remains constant as the continuum is shifted from high cost provisions.
- That, as students leave high cost provisions, much fewer new such placements are made.

5.3 The current pattern of high cost placements by year group is as follows: -



5.4 Working through the probable transition dates for these placements, if the following targets were set for reducing the numbers of placements in each category it could mean the following: -

	2019/20	2020/21	2021/22	Total
Independent Mainstream School	2	4	9	15
NM/Independent Special	12	13	15	40
Residential	10	14	13	37
Post 16: ISPs	14	16	18	48
TOTAL	38	47	55	140

These are extremely challenging targets: over the three-year period, it suggests over a 40% reduction in high cost placements, which would bring Worcestershire just below national averages. The potential savings that could be generated are difficult to quantify but a reduction in these high costs placements could contribute significantly to the recovery. Further work is required in order to quantify this issue.

6. ISSUES FOR THE DEVELOPMENT FOR LOCAL CAPACITY

6.1 There is currently a fragmented continuum of provision for ASD, where specialist services are not available to build capacity and avoid case escalation, and training for professionals and parents is ad hoc and insufficient. As a result, placement breakdowns lead to high cost placements. The MABs are not adequately equipped with specialist staff, facilities or the physical environment to provide for the current extent of need.

6.2 There is no immediately available access to capital funding to support the development of environmental adaptations to mainstream schools. Too often placements of high needs pupils on autism spectrum fail because of lack of suitable learning spaces.

6.3 Specialist SEN support services have been concentrated on trading services and are not available to be deployed centrally to intervene to de-escalate potential difficulties and challenges in schools or to work in a manner that is overtly geared to supporting schools to sustain pupils with SEND in their local schools.

6.4 Placement fragility in local special schools is not usually characterised by the involvement over time of LA commissioned EPs and specialist advisers.

6.5 There is an emerging tier of small independent schools and Alternative Provision which offers high cost provision for young people with SEMH/ attachment difficulties and which is generating parental pressure for such placements and school demands for payment towards their costs of arranging such non state-funded AP support.

6.6 Systemically, there are and have been difficulties in ensuring that the WCC has the ability to manage down case escalation, build parental confidence and strengthen mainstream provision because SEND fieldwork services have been contracted through an alternative provider and the contract did not build in a key feature of historical practice that enabled: -

- All schools to have a named EP and a defined number of visits a term / year, whose purpose was to enable the provision of advice, assessment, reflection, observation, engagement with parents and other professionals – all of these services were at no cost. They are now only available through a traded service.
- The same applies to specialist teachers and in particular those who work in the area of ASD
- Nationally the funds for specialist outreach or advisory services for SEMH (once known as BESD) was part of the GAG (General Annual Grant) when a school became an academy, and over time the budget became decimated by this approach with most LAs, including Worcestershire, delegating this budget across schools.

6.7 There has been a lack of attention to transition pathways- e.g. from Special Schools into FE, arising from lack of staffing capacity in the central SEND service, and the dis-establishment of the Connexions Service that included specialist advisers for SEND. Since this time, numbers of placements in expensive ISP placements have grown substantially. This is exacerbated by independent careers advice being dislocated from WCC, its priorities and its ongoing work so they cannot meaningfully explain the full range of provision available or understand the bespoke support arrangements that can be put in place. LA assigned Information Advice and Guidance is needed as an integral part of the work jointly undertaken by the Young Adult's Team and the SEND Service.

6.8 Work on preparing young people with SEND for adulthood starts in school but WCC has not sufficiently developed a new infrastructure that links with local work-related experience and employment activities. The development of new provision is urgently needed to turn back the trend for rapidly rising numbers of new EHCPs for those leaving school.

7. BUILDING BLOCKS FOR THE RECOVERY STRATEGY

7.1 Central Management of SEND

(a) The central SEND functions in the LA have in the past been under-resourced. This is being addressed and plans are being developed to: -

- Create a system and structure that can manage demand through: -
 - engagement with parents and carers and schools and settings, and
 - decision making that enables the robust implementation of the Graduated Response
- Develop a much more focused and targeted approach to placement and EHC Plan review

7.2 Schools

(a) The LA will require an overt and co-ordinated approach to build capacity and skills in mainstream schools for more complex needs and in particular social and emotional/mental health and autism.

(b) This includes making available specialist advice through educational psychologists and specialist teachers in a way that targets the reduction of exclusions, and the impact of Graduated Response arrangements at school level.

(c) There should be more professional dialogue with and support to schools at the Graduated Response stage. This means providing access to expert and specialist advice in order to avoid case escalation. The role of moderation as part of EHC assessment decision making should also be extended to involve both mainstream and special schools in order to ensure consistency between settings.

7.3 Post 16

A local FE College SEND Forum has been established which will take forward planning to ensure that the current gaps in provision leading to expensive ISP (Independent Service Providers) placements are minimised.

8. OUTLINE ACTION PLAN

8.1 Financial planning and control and SEND Improvement are inextricably linked. Securing SEND Improvement will be unsustainable without refocusing HN resources over time and securing some short-term additional investment to support the required changes. As part of this process, financial and management information systems need to be more closely aligned so that more people become more aware of how the High Needs budget is being spent and why.

8.2 Overall there is potentially a need to: -

- Scope the nature of school and setting level support from educational psychologists and specialist teachers, so that this will help to implement the Graduated Response and avoid case-escalation.
- Explore the nature of service needed to reduce escalation to exclusion (see comments on EPs and specialist teachers above)
- Improve management information and data analysis to inform future decisions re provision.
- Secure greater transparency in the focus of budget headings in the HNB, so that functionality and priority is overt, and accountabilities more defined.
- Set out a nominal, zero based budget for the HNB, that will enable the tracking and monitoring of spend against strategic priorities linked to SEND Improvement and monitor closely with professional services.

8.3 On Monitoring, Review and Decision Making there is potentially a need to: -

- Decision making on the statutory SEND process should include: -
 - Early alerts for potential Out of Authority placements and the development of an approach to ensure an in-county alternative.
 - More intensive case monitoring at the point of consulting with schools for placements with schools and settings.
 - Increase skill levels in decision makers.
 - Linking placement outcome profiles to performance management.
- Introduce placement review at transition stages in all special schools with an expectation of considering mainstream.
- Target attention to casework from Year 9 onwards so that every student has a clear progression plan and parents understand the full range of local provision.
- Work with Local FE settings and other providers to develop locality post 18 training and education provision.
- Targeted work on OOA placements– attend reviews and plan with providers for relocalisation/ reintegration.

8.4 For Specific SEND Areas there is a need to: -

- Further develop training and development support, building on the SEND Training & Development Network (e.g.: AET training to next level for all settings and ensuring all SENCOs are on training programmes).
- Ensure the emerging issue of anxiety and non-attendance is considered as part of approaches to develop accommodation in bases and reduce dependency on Out of Authority placements.
- Reduce current “normalisation” of independent AP by schools, with an approach to build capacity in schools for children and young people whose mental health difficulties and/or disruptive behaviours can lead to exclusion.
- Identify capital requirements for the improvement of specialist provision such as MABs and to enhance accommodation in special schools.
- Ensure the current 16-25 project is aligned with the HNF plan and in particular: -
 - Build capacity in local FE Colleges to reduce reliance on ISPs.
 - Ensure robust joint commissioning arrangements are in place with Health and Social Care.
 - Continue to improve collaborative case planning and case management between the SEND Service and the Young Adults Team.

9. RECOMMENDATIONS

9.1 For the WSF to discuss and consider the contents of this report and data provided.

9.2 For the WSF to consider: -

- The preparation of nominal Zero-Based budget for the High Needs Block.
- The targets for rebalancing the continuum of provision and their financial implications.
- The commissioning of further work to model top-up allocations to enable predictions and propose new bands and monitoring processes.
- The development of a full action plan as indicated.

Penny Richardson – Interim Group Manager SEND

David Monger – SEND Consultant

June 2019

REPORT TO THE WORCESTERSHIRE SCHOOLS FORUM (WSF)
MAINTAINED SCHOOL BALANCES 2018-19

1. PURPOSE

1.1 To inform the WSF of revenue balances held by maintained schools for the financial year 2018-19.

2. BACKGROUND INFORMATION

2.1 Individual school budgets are funded from the Dedicated Schools Grant (DSG), Pupil Premium and other government grants for specific projects. Funding for post-16 expenditure in Secondary and High Schools is allocated by the Education and Skills Funding Agency (ESFA).

2.2 The WSF are reminded that the LA has provision in its Scheme for Financing Schools to challenge excess surplus balances held by schools over the permitted level for their sector. However, in view of the current financial pressures on schools, permission is requested for the challenge process to be light touch this year.

3. SUMMARY BALANCES

3.1 Overall school balances have decreased this year by a further £3,787,496 from £9,361,967 to £5,574,471. This is equivalent to 3.10% of total in-year revenue funding and represents a reduction of 2.02% on 2017-18. This information includes the total resources and balances of schools who converted to academies within the financial year where their balances have yet to be transferred.

3.2 An analysis of year-end balances by school and sector is attached in **Appendix A**. In total, 12 primary schools converted to academies within the year, the net value of outstanding balances at 31 March 2019 was £408,479 with in-year funding of £7,527,030.

3.3 A summary of year-end balance by sector is shown in table below.* Denotes the balances as a percentage of total in-year funding (excludes school generated income).

	2018/2019 £	*2018/2019	2017/2018 £	*2017/2018	Variance 2017/18 to 2018/19 £
Nursery & Primary	8,194,612	6.60%	10,699,049	8.20%	(2,504,437)
Secondary	(4,921,305)	(13.55%)	(3,703,141)	(10.87%)	(1,218,164)
Special	2,163,353	12.82%	2,296,605	14.24%	(133,252)
PRUs	137,811	5.73%	69,454	3.21%	68,357
Total	5,574,471	3.10%	9,361,967	5.12%	(3,787,496)

3.4 The average balance by phase adjusted for in-year converting academies as detailed in **Appendix A** is shown in the table below: -

	2018/2019 £	2017/2018 £	Variance £
Nursery & Primary	62,554	79,844	(17,290)
Secondary	(447,391)	(336,649)	(110,742)
Special	432,671	459,321	(26,650)
PRUs	45,937	23,151	22,786

4. SCHOOLS IN DEFICIT

4.1 The number of schools ending the financial year in deficit has increased by seven. In total there were 33 schools compared to 26 at the end of 2017/2018. This is detailed in the table below: -

	2018/19	2017/2018	Year on year change
Nursery & Primary	26	18	+8
Secondary	6	7	-1
Special	0	0	-
PRUs	1	1	-
Total	33	26	+7

4.2 The total value of deficit balances for 2018/2019 is £7,158,628 as detailed in the table below. This is an increase of £1,726,446 from 2017/2018. The largest deficit balance for 2018/2019 is £2,421,248 this is an increase of £297,167 from £2,124,081 at the end of 2017/2018.

	2018/2019 £	2017/2018 £	Variance £
Nursery & Primary	1,618,976	951,707	(667,269)
Secondary	5,535,862	4,438,684	(1097,178)
Special	0	0	0
PRUs	3,790	41,791	38,001
Total	7,158,628	5,432,182	(1,726,446)

4.3 The number of maintained schools setting budgets for 2019/20 is 129 of which 36 have set a deficit budget. 29 of those that ended the year in deficit have set a deficit budget for 2019/20. The total value of the deficit budgets is £10.4m against the value of surplus budgets of £5m.

4.4 Schools setting a deficit budget have received a letter from the Chief Finance Officer outlining the budget deficit recovery and monitoring requirements of the County Council. These include: -

- No new appointments or changes to existing contracts being made without the County Council's approval,
- The school works with the County Council and School Improvement Advisors to return to an in-year surplus within 18 months and a balanced position within two years, or by exceptional agreement five years. The expectation being that all savings made in-year contribute to reducing the deficit,
- All virements must be authorised by the County Council, after approval has been sought in line with the school's Finance Policy,

- The school provides the County Council with minutes evidencing discussion with Governors regarding recovery plans and progress against the budget,
- That a monthly budget monitoring report which includes the annual budget outturn is submitted to the County Council.

4.5 The deficit recovery plans for these schools are currently being reviewed. It is anticipated that there will be a requirement for some schools to attend a Schools Causing Concern meeting to review progress.

4.6 To inform that a further qualitative review of the deficits is suggested to assess those schools where the deficit is arising from known qualitative and pupil admission numbers; those where the deficit does not match other knowledge; those related to SEND/High Need funding; and those in three tier pyramid areas. This review may help highlight more directive conversations around recovery plans

Caroline Brand

Finance Manager - Children, Families and Communities

June 2019

Appendix A Schools' Carry-forward analysis 2017/2018 & 2018/2019															
Cost Centre	School	Total Resources 2017/18 *			2017/18 CFWD inc interest			Total Resources 2018/19 *			2018/19 CFWD inc interest			Movement	
		£	£	%	£	£	%	£	£	%	£	£	Reductions	Increases	
	<u>NURSERY & PRIMARY SCHOOLS</u>														
SM1001	EVESHAM NURSERY SCHOOL	359,727	24,978	6.94	383,339	20,783	5.42						(4,195)		
SM3000	ABBERLEY PAROCHIAL PRIMARY	464,265	57,760	12.44	487,444	84,840	17.41							27,079	
SM2002	ALVECHURCH, CROWN MEADOW FIRST	1,424,874	220,291	15.46	1,438,170	88,279	6.14						(132,012)		
SM2006	ASHTON-UNDER-HILL FIRST	490,523	71,219	14.52	506,387	102,263	20.19							31,044	
SM3300	ASTLEY C.E. PRIMARY	487,321	110,389	22.65	517,095	144,383	27.92							33,994	
SM2007	A BADSEY FIRST	1,038,844	348,302	33.53	402,594	-	-						(348,302)		
SM3302	BARNT GREEN ST. ANDREW'S C.E. FIRST	855,349	81,262	9.50	901,823	62,753	6.96							(18,509)	
SM3001	BAYTON C.E. PRIMARY	526,351	1,040	0.20	514,383	(32,527)	(6.32)						(33,566)		
SM3002	BELBROUGHTON C.E. PRIMARY & NURSERY	653,661	(33,532)	(5.13)	784,512	(16,909)	(2.16)							16,623	
SM2008	BEOLEY FIRST	482,349	29,233	6.06	481,441	10,702	2.22						(18,530)		
SM3011	BEWDLEY, ST ANNE'S CE PRIMARY	1,186,449	(60,238)	(5.08)	1,227,075	(86,684)	(7.06)						(26,446)		
SM3397	BEWDLEY PRIMARY	1,475,517	115,037	7.80	1,564,957	98,935	6.32						(16,102)		
SM3005	BLAKEDOWN C.E. PRIMARY	640,883	20,778	3.24	662,150	(2,568)	(0.39)						(23,346)		
SM3306	BREDON HANCOCK'S ENDOWED FIRST	683,079	47,603	6.97	713,482	11,391	1.60						(36,212)		
SM2012	A BRETORTON FIRST	334,102	(38,330)	(11.47)										38,330	
SM3008	BROADHEATH C.E. PRIMARY	663,344	87,739	13.23	696,685	102,711	14.74							14,972	
SM3308	BROADWAS C.E. PRIMARY	427,843	10,461	2.45	482,530	42,244	8.75							31,783	
SM2013	BROADWAY FIRST	494,111	27,078	5.48	505,561	23,738	4.70						(3,340)		
SM2015	BROMSGROVE, CATSHILL FIRST SCHOOL & NURSERY	1,252,303	25,383	2.03	1,387,624	60,887	4.39							35,504	
SM2016	BROMSGROVE, CHARFORD FIRST	2,095,591	240,860	11.49	2,110,379	310,674	14.72							69,814	
SM2017	BROMSGROVE, FINSTALL FIRST	1,166,820	108,476	9.30	1,187,521	102,705	8.65						(5,770)		
SM2018	BROMSGROVE, LICKEY END FIRST	659,209	(66,139)	(10.03)	690,327	(86,916)	(12.59)						(20,776)		
SM2019	BROMSGROVE, MEADOWS FIRST	1,783,381	409,198	22.95	1,831,640	399,380	21.80						(9,818)		
SM2020	BROMSGROVE, MILLFIELDS FIRST	1,156,926	139,476	12.06	1,255,915	169,820	13.52							30,344	
SM2021	BROMSGROVE, SIDEMOOR FIRST & NURSERY	1,678,969	67,721	4.03	1,698,494	(19,032)	(1.12)						(86,754)		
SM2901	RUBERY, LICKEY HILLS PRIMARY	1,823,285	24,810	1.36	1,873,101	93,105	4.97							68,295	
SM2022	BROMSGROVE, BLACKWELL FIRST	661,713	91,025	13.76	790,204	161,690	20.46							70,665	
SM3014	CALLOW END C.E. PRIMARY	483,724	30,873	6.38	504,912	44,927	8.90							14,054	
SM3017	A CASTLEMORTON C.E. PRIMARY	477,643	42,048	8.80	128,544	-	-						(42,048)		
SM3330	CHADDESLEY CORBETT ENDOWED PRIMARY	950,790	77,606	8.16	911,367	60,483	6.64						(17,123)		
SM3018	CHURCH LENCH C.E. FIRST	422,231	89,681	21.24	430,981	76,848	17.83						(12,833)		
SM3019	CLAINES C.E. PRIMARY	844,114	5,306	0.63	873,343	3,230	0.37						(2,076)		
SM3020	CLEEVE PRIOR C.E. FIRST	294,329	8,114	2.76	352,610	(3,137)	(0.89)						(11,251)		
SM3022	CLENT PAROCHIAL PRIMARY	485,427	49,325	10.16	495,238	54,521	11.01							5,196	
SM2032	CLIFTON-UPON-TEME PRIMARY	367,715	(42,897)	(11.67)	391,462	(67,296)	(17.19)						(24,400)		
SM3016	COOKLEY SEBRIGHT ENDOWED PRIMARY	971,839	76,925	7.92	1,019,608	54,778	5.37						(22,147)		
SM3027	CROPTHORNE-WITH-CHARLTON C.E. FIRST	459,343	24,292	5.29	464,659	873	0.19						(23,419)		
SM3029	DEFFORD-CUM-BESFORD C.E. FIRST	338,068	37,273	11.03	336,299	(2,010)	(0.60)						(39,282)		
SM2034	DODFORD FIRST	398,946	37,744	9.46	408,134	24,248	5.94						(13,496)		
SM2035	DROITWICH, WESTLANDS FIRST	1,347,971	209,482	15.54	1,379,167	232,919	16.89							23,437	
SM2036	DROITWICH, CHAWSON COMMUNITY FIRST	1,570,210	194,697	12.40	1,580,460	184,138	11.65						(10,558)		
SM3317	DROITWICH, ST. JOSEPH'S CATHOLIC PRIMARY	928,565	33,441	3.60	978,188	49,880	5.10							16,439	
SM3038	ECKINGTON C.E. FIRST	436,589	53,517	12.26	433,436	51,060	11.78						(2,457)		

Appendix A Schools' Carry-forward analysis 2017/2018 & 2018/2019									
Cost Centre	School	Total Resources 2017/18 *	2017/18 CFWD inc interest		Total Resources 2018/19 *	2018/19 CFWD inc interest		Movement	
SM3039	ELDERSFIELD LAWN C.E. PRIMARY	484,679	31,861	6.57	502,932	17,764	3.53	(14,097)	
SM3040	ELMLEY CASTLE C.E. FIRST	257,894	(126,054)	(48.88)	288,552	(168,503)	(58.40)	(42,449)	
SM3042	EVESHAM, ST RICHARD'S C.E.FIRST	1,500,107	631,197	42.08	1,494,787	372,996	24.95	(258,201)	
SM3043	EVESHAM, ST.ANDREW'S C.E.FIRST	1,005,568	40,051	3.98	1,171,785	69,673	5.95		29,621
SM2041	EVESHAM, SWAN LANE FIRST	1,479,340	268,610	18.16	1,491,940	214,631	14.39	(53,978)	
SM3010	FAR FOREST LEA MEMORIAL C.E. PRIMARY	619,762	(22,074)	(3.56)	652,674	(24,299)	(3.72)	(2,225)	
SM2047	FAIRFIELD FIRST	527,143	120,967	22.95	529,184	151,250	28.58		30,283
SM3324	FLADBURY C.E. FIRST	375,731	10,434	2.78	451,157	36,233	8.03		25,798
SM5201	FLYFORD FLAVELL FIRST	395,345	8,364	2.12	408,960	18,741	4.58		10,377
SM3048	GRIMLEY & HOLT C.E. PRIMARY	444,673	3,111	0.70	466,704	22,548	4.83		19,437
SM2055	HAGLEY PRIMARY	2,312,269	263,807	11.41	2,360,836	192,278	8.14	(71,529)	
SM3329	HALLOW C.E. PRIMARY	791,862	75,914	9.59	793,702	33,416	4.21	(42,498)	
SM3049	HANBURY C.E. FIRST	525,664	4,448	0.85	560,110	12,956	2.31		8,508
SM3053	HARVINGTON C.E. FIRST	815,351	156,734	19.22	890,011	179,548	20.17		22,814
SM3056	HIMBLETON C.E. FIRST	364,422	35,778	9.82	369,245	48,380	13.10		12,603
SM3057	HINDLIP C.E. FIRST	473,694	34,073	7.19	471,571	35,543	7.54		1,470
SM2905	A KIDDERMINSTER, BIRCHEN COPPICE PRIMARY	1,599,988	65,293	4.08	-	(116,974)	-	(182,266)	
SM2907	KIDDERMINSTER, COMBERTON PRIMARY	1,830,090	199,828	10.92	1,875,926	120,635	6.43	(79,193)	
SM2908	A KIDDERMINSTER, FOLEY PARK PRIMARY	1,148,974	69,489	6.05	23,982	-	-	(69,489)	
SM2910	KIDDERMINSTER, FRANCHE COMMUNITY PRIMARY	3,571,948	724,456	20.28	3,787,451	487,422	12.87	(237,034)	
SM2911	KIDDERMINSTER, OFFMORE PRIMARY	1,358,178	(38,427)	(2.83)	1,459,772	(70,460)	(4.83)	(32,033)	
SM3021	KIDDERMINSTER, ST CATHERINE'S CE PRIMARY	1,720,080	104,873	6.10	1,723,995	152,530	8.85		47,656
SM3023	KIDDERMINSTER, ST GEROGE'S CE PRIMARY & NURSERY	1,027,499	(6,641)	(0.65)	1,044,276	(24,604)	(2.36)	(17,964)	
SM3024	A KIDDERMINSTER, ST JOHN'S CE PRIMARY	1,759,576	177,707	10.10	775,769	47,144	6.08	(130,563)	
SM3026	A KIDDERMINSTER, ST OSWALD'S CE PRIMARY	1,050,852	66,021	6.28	-	-	-	(66,021)	
SM3331	KIDDERMINSTER, ST MARY'S CE PRIMARY	1,172,312	100,630	8.58	1,252,526	98,974	7.90	(1,656)	
SM3369	A KIDDERMINSTER, SUTTON PARK PRIMARY	1,160,175	88,652	7.64	865,805	57,893	6.69	(30,759)	
SM2914	LEIGH & BRANSFORD PRIMARY	590,604	14,349	2.43	647,445	4,582	0.71	(9,767)	
SM3350	LINDRIDGE ST. LAWRENCE'S C.E. PRIMARY	426,838	16,552	3.88	458,294	(6,244)	(1.36)	(22,795)	
SM3210	MALVERN, NORTHLEIGH C.E. PRIMARY	1,221,052	(83,586)	(6.85)	1,252,264	(181,165)	(14.47)	(97,579)	
SM3353	A MADRESFIELD C.E. PRIMARY	73,132	-	-	-	-	-		
SM3358	MALVERN, ST. JOSEPH'S CATHOLIC PRIMARY	787,796	27,610	3.50	764,955	42,056	5.50		14,446
SM3359	MALVERN WELLS C.E. PRIMARY	467,697	42,484	9.08	498,104	40,615	8.15	(1,869)	
SM3360	WEST MALVERN ST JAMES' C.E. PRIMARY	495,521	(15,363)	(3.10)	513,602	(42,136)	(8.20)	(26,772)	
SM3074	MALVERN, WYCHE C.E. PRIMARY	589,940	39,129	6.63	598,185	21,605	3.61	(17,524)	
SM3400	MALVERN, THE GROVE PRIMARY	1,116,590	(40,289)	(3.61)	1,157,560	(68,236)	(5.89)	(27,947)	
SM3077	MARTLEY C.E. PRIMARY	583,689	55,739	9.55	658,778	98,888	15.01		43,148
SM3365	OMBERSLEY ENDOWED FIRST	633,951	44,913	7.08	699,523	25,673	3.67	(19,240)	
SM3084	OVERBURY C.E. FIRST	391,519	37,021	9.46	421,919	66,507	15.76		29,486
SM2118	PEBworth FIRST	248,911	13,494	5.42	287,923	24,379	8.47		10,885
SM3085	PENDOCK C.E. PRIMARY	334,023	35,279	10.56	332,831	9,349	2.81	(25,930)	
SM2119	PERSHORE, ABBEY PARK FIRST & NURSERY	864,883	54,233	6.27	959,896	69,917	7.28		15,684
SM2121	A PERSHORE, CHERRY ORCHARD FIRST	342,854	-	-	-	-	-		
SM3368	PERSHORE, HOLY REDEEMER CATHOLIC PRIMARY	836,608	111,078	13.28	891,619	99,225	11.13	(11,853)	
SM3089	A POWICK C.E. PRIMARY	822,577	61,186	7.44	242,913	-	-	(61,186)	

Appendix A Schools' Carry-forward analysis 2017/2018 & 2018/2019										
Cost Centre	School	Total Resources 2017/18 *	2017/18 CFWD inc interest			Total Resources 2018/19 *	2018/19 CFWD inc interest			Movement
SM2128	REDDITCH, BATCHLEY FIRST	1,775,495	6,592	0.37	1,891,096	35,100	1.86		28,508	
SM3091	REDDITCH, FECKENHAM C.E. FIRST	546,114	51,585	9.45	528,584	38,821	7.34	(12,764)		
SM2131	REDDITCH, HOLYOAKES FIELD FIRST	1,345,965	73,548	5.46	1,332,457	52,044	3.91	(21,504)		
SM2192	REDDITCH, MOON'S MOAT FIRST	1,233,439	270,426	21.92	1,267,922	212,348	16.75	(58,078)		
SM2141	REDDITCH, ROMAN WAY FIRST	1,031,977	102,014	9.89	956,677	20,795	2.17	(81,220)		
SM3092	REDDITCH, ST. GEORGE'S C.E. FIRST	1,203,014	164,559	13.68	1,253,955	227,587	18.15		63,028	
SM3093	REDDITCH, ST. LUKE'S C.E. FIRST	752,884	63,470	8.43	795,507	61,905	7.78	(1,565)		
SM5202	B REDDITCH, ST. THOMAS MORE CATHOLIC FIRST	1,041,678	54,483	5.23	1,040,046	64,894	6.24		10,411	
SM3094	REDDITCH, ST. STEPHEN'S C.E. FIRST	796,327	117,615	14.77	821,847	109,502	13.32	(8,112)		
SM2136	REDDITCH, TENACRES FIRST	1,294,733	117,844	9.10	1,327,966	106,997	8.06	(10,847)		
SM2137	REDDITCH, WOODROW FIRST	1,575,059	85,043	5.40	1,698,060	71,240	4.20	(13,803)		
SM2920	REDDITCH, OAK HILL FIRST	1,964,069	354,091	18.03	2,112,982	290,307	13.74	(63,784)		
SM3097	ROMSLEY, ST. KENELM'S C.E. PRIMARY	833,271	9,144	1.10	877,756	27,089	3.09		17,945	
SM3098	RUSHWICK C.E. PRIMARY	657,960	18,515	2.81	695,984	5,803	0.83	(12,712)		
SM2921	RUBERY, HOLYWELL PRIMARY & NURSERY	1,834,489	228,586	12.46	1,873,768	184,176	9.83	(44,410)		
SM3099	SEDEBERROW C.E. FIRST	729,046	167,653	23.00	737,600	169,405	22.97		1,752	
SM2147	STOKE PRIOR FIRST	630,716	31,937	5.06	652,142	(160)	(0.02)	(32,097)		
SM2903	A STOURPORT, BURLISH PARK PRIMARY	1,909,307	266,806	13.97	1,081,084	45,024	4.16	(221,782)		
SM3381	SYTCHAMPTON ENDOWED FIRST	381,021	(157,029)	(41.21)	435,352	(146,518)	(33.66)		10,511	
SM3382	TARDEBIGGE C.E. FIRST	643,212	64,182	9.98	667,857	74,198	11.11		10,016	
SM3105	TIBBERTON C.E. FIRST	380,731	40,152	10.55	394,131	39,245	9.96	(907)		
SM3109	UPPER ARLEY C.E. PRIMARY	389,223	11,824	3.04	393,242	(34,816)	(8.85)	(46,641)		
SM3107	UPTON-UPON-SEVERN C.E. PRIMARY	762,238	(62,517)	(8.20)	881,420	(74,097)	(8.41)	(11,579)		
SM3108	UPTON SNODSBURY C.E. FIRST	347,906	67,435	19.38	376,603	71,613	19.02		4,178	
SM2156	A WELLAND PRIMARY	595,685	30,296	5.09	494,112	(3,796)	(0.77)	(34,092)		
SM3110	WHITTINGTON C.E. PRIMARY	839,491	65,921	7.85	875,916	64,165	7.33	(1,756)		
SM3332	A WOLVERLEY SEBRIGHT PRIMARY	629,003	31,832	5.06	248,209	-	-	(31,832)		
SM2161	WORCESTER, CHERRY ORCHARD PRIMARY	2,457,091	124,567	5.07	2,513,670	100,251	3.99	(24,316)		
SM2163	A WORCESTER, DINES GREEN PRIMARY	1,329,346	121,893	9.17	927,407	120,300	12.97	(1,593)		
SM2172	A WORCESTER, NUNNERY WOOD PRIMARY	1,644,311	130,585	7.94	494,505	-	-	(130,585)		
SM3387	WORCESTER, OUR LADY QUEEN OF PEACE CATHOLIC	853,692	68,052	7.97	837,203	46,710	5.58	(21,342)		
SM2173	WORCESTER, PERDISWELL PRIMARY	1,628,561	161,153	9.90	1,683,334	160,725	9.55	(428)		
SM2200	WORCESTER, PITMASTON PRIMARY	2,301,508	143,953	6.25	2,437,914	201,570	8.27		57,617	
SM3114	WORCESTER, ST. BARNABAS C.E. PRIMARY	1,968,367	(44,258)	(2.25)	2,081,661	(38,545)	(1.85)		5,713	
SM3116	WORCESTER, RED HILL C.E. PRIMARY	925,193	(93,627)	(10.12)	1,008,084	(266,251)	(26.41)	(172,624)		
SM3389	WORCESTER, ST. GEORGE'S C.E. PRIMARY	924,546	63,371	6.85	954,791	62,034	6.50	(1,337)		
SM3390	WORCESTER, ST. GEORGE'S CATHOLIC PRIMARY	840,118	26,645	3.17	903,197	29,160	3.23		2,516	
SM3391	WORCESTER, ST. JOSEPH'S CATHOLIC PRIMARY	1,578,591	133,997	8.49	1,725,098	194,980	11.30		60,983	
SM2179	A WORCESTER, STANLEY ROAD PRIMARY	1,927,121	215,326	11.17	1,631,248	141,914	8.70	(73,411)		
SM2202	WORCESTER, OLDBURY PARK PRIMARY	1,760,383	(13,801)	(0.78)	1,741,010	32,931	1.89		46,732	
SM2187	A WYCHBOLD FIRST & NURSERY	632,466	20,643	3.26	234,841	-	-	(20,643)		
SM2188	WYTHALL, MEADOW GREEN PRIMARY	1,295,813	(6,904)	(0.53)	1,270,845	(35,094)	(2.76)	(28,190)		
SM2906	PERSHORE, ABBEY PARK MIDDLE	1,155,484	61,346	5.31	1,214,752	41,380	3.41	(19,966)		
SM2197	RUBERY, BEACONSIDE PRIMARY & NURSERY	1,056,993	74,520	7.05	1,108,308	70,457	6.36	(4,063)		
SM2916	DROITWICH, WESTACRE MIDDLE	1,720,401	515,904	29.99	1,835,184	563,622	30.71		47,718	

Appendix A Schools' Carry-forward analysis 2017/2018 & 2018/2019							
Cost Centre	School	Total Resources 2017/18 *	2017/18 CFWD inc interest	Total Resources 2018/19 *	2018/19 CFWD inc interest	Movement	

REPORT TO THE WORCESTERSHIRE SCHOOLS FORUM (WSF)
DSG OUTTURN 2018-19

1. PURPOSE

1.1 To advise the WSF on the DSG outturn position for the financial year 2018-19 including the implications for the DSG in future years.

2. DSG OUTTURN 2018-19

2.1 The DSG is currently allocated on a historic basis to LAs in four blocks – Schools, Central School Services, High Needs and Early Years.

2.2 The majority of the DSG is delegated to schools with any variation to the budgets allocated forming school carry forward balances. There are also payments to early years' providers for 2, 3 and 4 year olds.

2.3 The centrally retained DSG contains specific services, which are limited by the requirements of the School and Early Years Finance (England) Regulations. The full list for 2018-19 is attached at **Appendix A**. Worcestershire makes provision for specific aspects as indicated some of which have to be approved by the WSF on an annual basis.

2.4 Any variations on the centrally retained element of the DSG are then required to be carried forward. The DSG carry forward position is reported as part of the County Council's year end accounts and represents the accumulated carry forward position since the introduction of the DSG from 2006/07.

2.5 The statutory funding regulations put significant restrictions on the use of DSG carry forward. This is detailed by the DfE in their Schools Revenue Funding Operational Guidance 2018-19. This requires any carry forward to be treated as follows: -

'Any DSG underspend brought forward from the previous year may be used to support central expenditure (providing no limits are breached) in the schools block, or transferred to either the high needs or early years block. Alternatively, an underspend may be carried forward to the next funding period and allocated to schools via the funding formula.'

2.6 There are further provisions for: -

(a) De-delegated Funding where: -

'Any unspent de-delegated funding remaining at the year-end should be reported to Schools Forum. Funding may be carried forward to the following funding period as with any other centrally retained budget and can be used specifically for de-delegated services if the authority wishes.'

(b) Pupil Growth Funding where: -

'Any unspent growth funding remaining at the year-end should be reported to Schools Forum. Funding may be carried forward to the following funding period as with any other centrally retained budget and can be used specifically for growth if the authority wishes.'

2.7 Also the DfE in their Schools Revenue Funding Operational Guidance 2019-20 have further provisions as follows: -

'An increasing number of local authorities are now incurring a deficit on their overall DSG account, largely because of overspends on the high needs block. With effect from 2019 to 2020 the department intends to tighten up the rules under which local authorities have to explain to us their plans for bringing the DSG account back into balance. We intend to require a report from any local authority that has a DSG deficit of more than 1% as at 31 March 2019. This report will need to be discussed with the schools forum and set out the authority's plans for bringing the DSG account back into balance.'

2.8 Also in terms of Schools Forum powers and responsibilities for the DSG Reserve only relates to deciding how to fund from the Schools Budget any deficit carried forward on central expenditure. The use of any DSG Reserve is for determination by the LA.

2.9 The DSG carry forward position as at the end of 2018-19 i.e. 31st March 2019 is detailed in **Appendix B**. This is still subject to external audit of the year end accounts. Details on allocations made from the Pupil Growth Fund supporting basic need are in **Appendix C**.

2.10 The WSF are advised there is now a **deficit balance of £0.633m on the DSG Reserve** due to the brought forward reserves all being utilised to support the HN DSG overspend. This has been discussed under **Agenda Item 9**.

3. RECOMMENDATION

3.1 The WSF are requested to: -

- Note the centrally retained DSG areas in **Appendix A**.
- Note the DSG carry forward position 2018-19 in **Appendix B**.

Andy McHale
Service Manager Funding and Policy
Children, Families and Communities

June 2019

DETAILS OF DSG CENTRALLY RETAINED SERVICES 2018-19

APPROVAL REQUIRED	SERVICE AREAS
<p><u>De-delegated Services for Maintained Schools</u></p> <p>Requires Schools Forum Maintained School Members by Phase to Decide</p>	<ul style="list-style-type: none"> • Contingencies. # (including schools in financial difficulties and deficits of closing schools) See criteria below for information. • Behaviour support services. • Support to underperforming ethnic groups and bilingual learners. # * • Free school meals eligibility. # * • Insurance. • Museum and library services. • Staff costs supply cover (e.g. long-term sickness, maternity, trade union and public duties). # • Contribution to responsibilities the LAs hold for maintained schools only (previously funded by Education Services General Duties Grant). • Additional School Improvement. <p># Indicates currently de-delegated * Part of Babcock Contract</p>
<p><u>Centrally Retained</u></p> <p>Not Requiring Schools Forum Approval</p>	<ul style="list-style-type: none"> • High Needs Block provision. ~ • Central Licences negotiated by the Secretary of State. ~ <p>~ Indicates currently centrally retained</p>
<p><u>Centrally Retained Prior To Local Schools Formula Allocation</u></p> <p>Requires Agreement of Schools Forum</p>	<ul style="list-style-type: none"> • Funding for significant pre-16 pupil growth, including new schools set up to meet basic need, whether maintained or academy. ^ • Funding to enable all schools to meet the infant class size requirement. ^ • Funding for good or outstanding schools with falling rolls where growth in pupil numbers is expected within three years. • Back-pay for equal pay claims. • Remission of boarding fees at maintained schools and academies. • Places in independent schools for non-SEN pupils.

	<ul style="list-style-type: none"> • Central Early Years block provision. ^ • Any movement of funding out of the Schools Block. • Any deficit from the previous funding period that reduces the amount of the schools budget. • Any deficit brought forward on de-delegated services, which is met by the overall schools budget. <p>^ Indicates currently centrally retained</p>
<p><u>Centrally Retained Prior to Local Schools Formula Allocation</u></p> <p>Requires Approval of the Schools Forum for Each Line</p>	<ul style="list-style-type: none"> • Admissions. ▸ • Servicing of Schools Forum. ▸ • Contribution to responsibilities the LAs hold for all schools (previously funded by Education Services Retained Duties Grant). ▸ <p>▸ Indicates currently centrally retained</p>
<p><u>Centrally Retained Prior to Local Schools Formula Allocation</u></p> <p>(No new commitments or increases in expenditure from 2012-13)</p> <p>Requires Approval of the Schools Forum for Each Line</p>	<ul style="list-style-type: none"> • Capital expenditure funded from revenue (i.e. no new projects can be charged to the central schools budget). • Contribution to combined budgets. @ • Existing termination of employment costs (i.e. no new redundancy costs can be charged to the central schools budget). • Schools budget funded prudential borrowing costs. • Schools budget funded SEN transport costs. <p>@ Indicates currently centrally retained</p>

Criteria for Use of School Specific Contingency (SSC) Funding

'Contingencies can be retained centrally for maintained schools but only for a limited range of circumstances: -

- a) Exceptional unforeseen costs which it would be unreasonable to expect governing bodies to meet.*
- b) Schools in financial difficulties.*
- c) Additional costs relating to new, reorganised or closing schools.'*

DfE definition

Access to the SSC for Maintained Schools

A request in order to access School Specific Contingency (SSC) funding in relation to DfE circumstance a) above, can only be made in the following situations: -

- 1) To support a school that has incurred additional expenditure following a serious and unexpected critical incident.
- 2) To support a school that is experiencing exceptional difficulties in providing an adequate standard of education for its pupils. Before agreeing to allocate any funding in relation to this situation, the following criteria apply: -
 - a) The school is LA maintained.
 - b) The school following a Section 5 inspection or LA review is categorised as being in OFSTED and/or LA categories 3 or 4, i.e. giving significant cause for concern; and/or the school has a specific time limited issue.

Either of which may impact on the school's ability to provide an adequate standard of education or be at significant risk of doing so.

- c) All other solutions and sources of funding have been explored and there are no other options available to support the school and address the identified need.
- d) The LA action plan for the school identifies expenditure which is required to bring about necessary improvements and which cannot be met from the school's own budget. The need must be identified as both significant and urgent.

(This may include the purchase of equipment or services to provide the statutory elements of the school curriculum, to ensure health and safety standards are met, to fund secondments, staffing restructures or additional staffing needs where the provision within the school is currently inadequate and pupils are at significant risk, etc. Please note: this is not a fully exhaustive list.)
- e) The amount of funding requested should be time limited and set against agreed outcomes. The amount requested should reflect actual costs to be incurred wherever possible.
- f) The LA action plan must have been discussed with the relevant Schools Manager; Headteacher and Chair of Governors before being brought to the School Specific Allocation Meeting.
- g) Regular Project Board meetings if relevant will be in place to monitor progress and the school SLT and Governing Body will be accountable for the use of any funding awarded.

In respect of DfE circumstances b) and c) above these will be assessed for individual schools as they arise at the discretion of the LA.

DSG RESERVE ANALYSIS 2018-19 TO 2019-20**APPENDIX B**

	£'000	£'000	£'000
DSG B/Fwd 1st April 2018			-5,232 surplus
Variations In 2018-19 (Overspend)			
Schools Block DSG			
Previous Years Unallocated Schools Block, etc	-891		
Exclusions	-105		
Other	-243		
		-1,239	surplus
High Needs (HN)			
HN School Top Up Funding	801		
Alternative Provision	1,007		
Independent Special Schools and Inter LA Recoupment	4,087		
Post 16	3,147		
Other	-70		
		8,972	deficit
Statutory Duties		-142	surplus
Other		83	deficit
= Gross DSG Overspend		7,674	deficit
- Additional DSG Announced December 2018		-1,232	surplus
= Net DSG Overspend			6,442 deficit
= DSG Position After Applying Reserves			1,210 deficit
- Additional DSG Allocated by DfE for Prior Years			-578 surplus
= DSG C/Fwd as at 31st March 2019 into 2019-20			632 deficit

APPENDIX C

PUPIL GROWTH FUND 2018-19

	£	£	£
<u>Pupil Growth Fund Basic Need Approvals</u>	2017-18 Full Year Effect Academies Only	2018-19 Part Year Effect All Schools	Total
Budget			1,271,245

Allocations

Maintained Schools

Blakedown CE Primary	Sept 2014	0	1,602	1,602
Batchley First	Sept 2014	0	19,229	19,229
St. Joseph's RC Primary	Sept 2014	0	41,663	41,663
Catshill First	Sept 2014	0	17,627	17,627
Blackwell First	Sept 2015	0	14,422	14,422
Millfield First	Sept 2015	0	6,410	6,410
St. Andrew's First	Sept 2015	0	48,072	48,072
Leigh and Bransford Primary	Sept 2016	0	22,434	22,434
Red Hill CE Primary	Sept 2017	0	44,867	44,867
Rushwick CE Primary	Sept 2017	0	12,819	12,819
Sub Total Maintained		0	229,145	229,145

Academies

Nunnery Wood Primary	Sept 2013	0	19,229	19,229
Lyppard Grange Primary	Sept 2013	16,670	24,036	40,706
Bengeworth First	Sept 2013	35,722	49,675	85,397
Oasis Academy Warndon	Sept 2013	29,769	0	29,769
Matchborough First	Sept 2014	17,861	22,434	40,295
Heronwood Primary	Sept 2014	26,196	9,614	35,810
Abbeywood First	Sept 2014	0	20,831	20,831
Wychbold First	Sept 2016	0	22,434	22,434
Honeybourne Primary	Sept 2017	13,098	0	13,098
Christopher Whitehead Secondary	Sept 2017	38,113	119,420	157,533
Nunnery Wood High	Sept 2017	30,946	87,875	118,821
Tudor Grange Academy Worcester	Sept 2017	73,294	99,141	172,435
Somers Park Primary	Sept 2018	0	20,831	20,831
The Chantry High	Sept 2018	0	49,571	49,571
Stourport High	Sept 2018	0	101,395	101,395
Total Sub Total Academies		281,669	646,486	928,155
Grand Total		281,669	875,631	1,157,300

Underspend

-113,945

Notes

Allocations made on approved formula of: -
Difference between new admissions in September against leavers in top year group in previous year at Primary and KS3 AWP.U.

Academies have to be funded for full year due to year in lagged funding.

Underspend allocated to DSG Reserve to support HN overspend.

WORCESTERSHIRE SCHOOLS FORUM (WSF)
PROPOSED FORUM MEETING DATES ACADEMIC YEAR 2019/20

ALL MEETINGS IN COUNTY HALL, WORCESTER

DATE	TIME AND LOCATION
Thursday 26 th September 2019	3pm Kidderminster Room
Thursday 28 th November 2019	2pm Worcester Room
Tuesday 14 th January 2020	2pm Worcester Room
Thursday 19 th March 2020	2pm Worcester Room
Thursday 7 th May 2020	2pm Kidderminster Room
Thursday 9 th July 2020	2pm Kidderminster Room

PLEASE NOTE

There may be a need to review this meeting schedule during the year due to: -

- Any further policy announcements by the DfE on the NFF and other policy changes.
- Confirmation of school funding budget information.

POTENTIAL ITEMS FOR THE MEETINGS

The dates will include some standard items such as: -

September 2019

National Decisions for 2020-21 and NFF

Local Notification on National Funding Changes 2020-21 (if any)

November 2019

National Decisions for 2020-21 and NFF

Local Notification on National Funding Changes 2020-21 (if any)

January 2020

School Funding Settlement 2020-21

Schools and Early Years Finance Regulations 2020-21

Final Schools Block Allocations APT 2020-21

March 2020

DfE National Funding Update

May 2020

DfE National Funding Update

July 2020

DfE National Funding Update

Potential Consultation Issues 2021-22 and future years

Schools Balances 2019-20

DSG Outturn 2019-20

There will also be additional items as they arise during the year.