

SCHOOLS FORUM**8th February 2018****Report of the Strategic Director for Children's Services****High Needs Block Budgets 2018-19****1. Purpose of the Report**

To seek the School Forum's views on the Authority's proposed High Needs Block (HNB) budgets for 2018-19.

2. Information and Analysis**2.1 High Needs Block Formula**

In September 2017 the DfE announced details of the High Needs Block (HNB) funding formula which will apply from April 2018 and which will allocate funding to LAs; individual institutions' allocations will continue to be driven by locally agreed formulae. Details of the HNB national funding formula were shared with the Forum at its October 17 meeting. The actual settlement for 2018-19 was announced by the DfE on 19 December 2017 and Derbyshire's allocation is £68.651m. A breakdown of the calculation supporting this figure is set out in Appendix 1.

The 2018-19 allocation compares with an equivalent figure for 2017-18 of £68.355m, reflecting a 0.43% increase. Derbyshire's HNB increase is modest due to the application of an import/export adjustment to reflect the movement of pupils between LAs. In order to fund the receiving ("importing") authorities, Derbyshire's 2018-19 HNB has been reduced by £6,000 per "exported" student, offset by £6,000 per "imported" student, resulting in an overall reduction of £1.446m.

The other technical change is that from 2018-19 pupils in ER provision will attract the relevant AWPUP funding via the Schools Block NFF. HNB places funding will fall from £10,000 to £6,000 as a result, unless the place is unfilled in which case £10,000 remains the funding rate. ERS top up rates will be adjusted accordingly so that there is no net impact on individual schools. In order to fund the extra pressure on the Schools Block there has been a national transfer of resources of £91m from the HNB.

The HNB is already under pressure. The latest 2017-18 budget monitoring, which was reported to the last Schools Forum meeting in January, indicated a HNB overspend this year of £0.856m. In addition to this overspend it is likely that pay awards for 2018-19 could be agreed at around 2%, a level for which there is no specific provision in the settlement.

The above pressures, together with the modest year on year increase in resources, means that difficult decisions will need to be taken in respect of HNB funded services next year. The allocation of the HNB is ultimately a matter for the Council, however, the Authority would welcome the views of the School Forum before making its final decisions.

2.2 Initial review of budget proposals for 2018-19

Spending within the HNB can be categorised as follows:

(i) Place funding – this covers two types. The first is pre and post 16 SEN places in academies and post 16 places in LA maintained mainstream schools and special schools, college places and post 16 Charitable and Commercial Providers (CCPs). These are all funded by the ESFA by deducting monies from our gross HNB. The second type covers LA pre 16 places in special schools, Enhanced Resource provision in LA maintained schools and Pupil Referral Units.

(ii) Top up funding – these sums, which are over and above the place values, are paid to providers by the LA for the children and students for which the LA is the “home” Authority. Top up rates vary depending on the type of institution and the individual child’s needs that are being met. Details of the 2017-18 rates and the likely quantum payable in 2018-19 are set out in Appendices 3 and 4.

(iii) Services and other centrally held budgets – in addition to the monies delegated to providers, funding is held centrally to enable some services to be free to schools and academies at the point of delivery. The central budgets also fund a range of other costs including contingencies, contributions to LA-funded services e.g. education psychology services, contributions to high cost (complex) placements and some limited transport costs. The proposed allocations for 2018-19 are set out in Appendix 5.

2.2.1 ESFA funded and LA school and academy places

Work has been ongoing for several weeks with providers to establish the number of places required. As a result of this work the places which the LA currently expects to fund are shown in Appendix 2, the total cost is estimated to be £14.391m.

2.2.3 Top ups

It should be noted that the special school and PRU rates do not include any additional funding for redundancy costs, school improvement services or services previously funded by the Education Services Grant. This approach is consistent with that applied to the mainstream sector. The current estimated allocations for top ups have been based on current levels of spend with an adjustment to recognise changes in the ERS top up values. Top ups are estimated to cost £37.637m in 2018-19.

2.2.4 Services and other centrally held budgets

The HNB funds a range of services the proposed allocations for which are set out in Appendix 5. The allocations would represent a real terms cut as no allowance has been included for inflation. In addition the contingency fund has been reduced by 50% thus reflecting the considerable increase in low prior attainment funding in mainstream schools’ budgets. The total cost of centrally held budgets would be £17.350m

2.3 Summary of allocations

The total value of the allocations in section 2.2 are summarised in Table 1.

Table 1 – Summary of allocations at this point

| Budget | £m |
|-------------------------------------|-----------|
| Places (Appendix 2) | 14.391 |
| Top ups (Appendix 4) | 37.637 |
| Centrally held budgets (Appendix 5) | 17.350 |
| | |
| Total budgets | 69.378 |
| HNB allocation | 68.651 |
| Shortfall | 0.727 |

2.4 Further issues

Work is ongoing to refine the estimated spend, particularly in respect of the top ups for ER and mainstream schools, but it seems likely that there will be a significant shortfall next year. The HNB shortfall will have to be funded from savings elsewhere in the HNB with any balance being met from DSG cash reserves. However, any support from reserves would need to be limited in scale and could only be sustained for one year. From 2019-20 onwards costs would need to be kept within the HNB funding envelope.

The options available to the Authority in 2019-20 include:

- Reducing central costs including any recommendations from the SEN strategic review;
- Recovering some or all of the costs of specific services by trading or other measures;
- Increasing the share of costs recovered from schools that exclude pupils;
- Seeking approval to transfer funding from the Schools Block.

Final decisions on the 2018-19 HNB allocations will be determined by Cabinet in March, however the views of the Schools Forum on the priorities for 2018-19 would be welcomed.

2.5 PRU/special school de-delegation

Funding in respect of redundancy costs and services previously funded by the Education Services Grant (ESG) have been top-sliced from mainstream schools' budgets. Similarly, funding for additional school improvement services has been de-delegated from mainstream schools.

With regard to the equivalent services for special schools and PRUs, decisions on whether or not to top-slice funding for redundancy and/or former ESG funded services is a matter for the special school and PRU sector representatives on the Forum. If the Authority does not agree with the Forum representatives' decisions it may appeal to the Secretary of State. The proposed top-slice rates for 2018-19 are set out in Table 2 below:

Table 2 – Top-slice charges for Special Schools and PRUs 2018-19

| | | Per Pre 16 Place | | |
|-------------------|---------------|------------------|---------------------------|---------------|
| Sector/multiplier | Pre 16 Places | Redundancy | Other former ESG Services | Total |
| Multiplier | | £37.23 | £20.00 | £57.23 |
| Special schools | 761 | £28,332 | £15,220 | £43,552 |
| | | | | |
| Multiplier | | £32.85 | £20.00 | £52.85 |
| PRUs | 272 | £8,935 | £5,440 | £14,375 |
| Total | | £37,267 | £20,660 | £57,927 |

There is no provision to top-slice or de-delegate funding from special schools and PRUs in respect of school improvement. Individual schools and PRUs will therefore have to make their own decisions regarding the level of school improvement services they wish to buy. Schools which wish to do so can buy the additional services previously funded by the ESG grant by paying a flat rate of £2,850 per annum. As with mainstream schools, all of the above costs would have to be met from schools' delegated budgets.

The special school and PRU representatives are asked to determine whether or not they wish the funding for redundancy costs and former ESG funded services in Appendix 6 to be top-sliced in 2018-19 for their sector.

3. Other Considerations

In preparing this report the relevance of the following factors has been considered: prevention of crime & disorder, equality of opportunity, human resources, legal & human rights, environmental, financial, health, property and transport considerations.

4. Strategic Director's Recommendations

- (i) The Schools Forum is asked to note the report and offer its views on the issues raised;
- (ii) Special school representatives are asked to determine whether or not to agree to funding being top-sliced from special schools' budgets for redundancy costs;
- (iii) Special school representatives are asked to determine whether or not to agree to funding being top-sliced from special schools' budgets in respect of the former ESG funded services in Appendix 6;
- (iv) The PRU representative is asked to determine whether or not to agree to funding being top-sliced from PRU budgets for redundancy costs; and
- (v) The PRU representatives is asked to determine whether or not to agree to funding being top-sliced from PRU budgets in respect of the former ESG funded services in Appendix 6.

JANE PARFREMENT
Strategic Director for Children's Services

Derbyshire's NFF High Needs Block allocation 2018-19**Appendix 1**

| Indicator | Multiplier | Count | Funding Total |
|--|-------------------|--------------|----------------------|
| | (£) | | (£m) |
| Population aged 2-18 | 116.91 | 145,476 | 17.008 |
| Health & Disability – No. children with bad health | 3,033.68 | 670 | 2.033 |
| Health & Disability – No. children claiming DLA | 530.41 | 5,020 | 2.663 |
| Deprivation – Free school meals (current) | 236.94 | 13,533 | 3.207 |
| Deprivation – IDACI Band F | 33.79 | 15,368 | 0.519 |
| Deprivation – IDACI Band E | 44.04 | 7,654 | 0.337 |
| Deprivation – IDACI Band D | 60.13 | 8,815 | 0.530 |
| Deprivation – IDACI Band C | 64.28 | 8,208 | 0.528 |
| Deprivation – IDACI Band B | 70.46 | 8,138 | 0.573 |
| Deprivation – IDACI Band A | 95.82 | 758 | 0.073 |
| Low Attainment @ KS2 | 1,589.16 | 1,478 | 2.349 |
| Low Attainment @ KS4 | 1,317.14 | 2,124 | 2.798 |
| Historic spend | | - | 33.025 |
| Funding floor | | - | 0.628 |
| Hospital Education | | - | 0.050 |
| Basic entitlement - no. pupils in spec schools/post 16 | 4,000.00 | 944 | 3.776 |
| Sub total before import/export adjustment | | | 70.097 |
| Import/export adjustment | 6,000.00 | -241 | -1.446 |
| Total High Needs Block | | | 68.651 |
| Adjusted 2017-18 baseline | | | 68.355 |
| Change (£m) | | | +0.296 |
| Change (%) | | | +0.43% |

| High Needs Places 2018-19 | | | | | | | | Appendix 2 | | | | | |
|--|---|---------------|---------|-----------|---------|--------|-----------|----------------|---------|--------|---------|------|---------|
| DfE | School | Pre 16 Places | | | | | | Post 16 Places | | | | | |
| | | April | £ | September | £ | Year | £ | April | £ | August | £ | Year | £ |
| ERS Provision | | | | | | | | | | | | | |
| 2011 | BRAMPTON PRIMARY | 14 | 35,000 | 14 | 49,000 | 14.00 | 84,000 | | | | | | |
| 2013 | CHAPEL-EN-LE-FRITH C E (VC) PRIMARY | 19 | 47,500 | 19 | 66,500 | 19.00 | 114,000 | | | | | | |
| 2116 | ALDERCAR INFANT AND NURSERY | 8 | 21,667 | 8 | 30,333 | 8.00 | 52,000 | | | | | | |
| 2119 | LANGLEY MILL JUNIOR | 5 | 15,833 | 5 | 22,167 | 5.00 | 38,000 | | | | | | |
| 2190 | PILSLEY PRIMARY (CHESTERFIELD) | 9 | 25,833 | 9 | 36,167 | 9.00 | 62,000 | | | | | | |
| 2268 | WHALEY BRIDGE PRIMARY | 10 | 26,667 | 9 | 31,500 | 9.42 | 58,167 | | | | | | |
| 2333 | HILLTOP INFANT & NURSERY | 5 | 19,167 | 5 | 26,833 | 5.00 | 46,000 | | | | | | |
| 2356 | ELMSLEIGH INFANT AND NURSERY | 16 | 46,667 | 16 | 65,333 | 16.00 | 112,000 | | | | | | |
| 2517 | DUNSTON PRIMARY AND NURSERY | 6 | 16,667 | 6 | 23,333 | 6.00 | 40,000 | | | | | | |
| 4019 | CHAPEL-EN-LE-FRITH HIGH | 38 | 103,333 | 36 | 133,000 | 36.83 | 236,333 | | | | | | |
| 4074 | THE WILLIAM ALLITT | 3 | 10,833 | 3 | 15,167 | 3.00 | 26,000 | | | | | | |
| 4173 | TIBSHELF SCHOOL | 17 | 42,500 | 17 | 59,500 | 17.00 | 102,000 | | | | | | |
| 4191 | GLOSSOPDALE COMMUNITY COLLEGE | 2 | 8,333 | 0 | 0 | 0.83 | 8,333 | | | | | | |
| 4089B | ALDERCAR CLC HI UNIT | 9 | 22,500 | 9 | 31,500 | 9.00 | 54,000 | | | | | | |
| 4089D | ALDERCAR CLC PHYS UNIT | 0 | 0 | 0 | 0 | 0.00 | 0 | | | | | | |
| 2026 | NEW WHITTINGTON COMMUNITY PRIMARY | 9 | 24,167 | 10 | 39,667 | 9.58 | 63,833 | | | | | | |
| 2249 | SPRINGFIELD JUNIOR | 14 | 38,333 | 12 | 42,000 | 12.83 | 80,333 | | | | | | |
| 4004 | OUTWOOD NEWBOLD | 16 | 46,667 | 16 | 65,333 | 16.00 | 112,000 | | | | | | |
| 4052 | THE LONG EATON ACADEMY | 11 | 27,500 | 10 | 35,000 | 10.42 | 62,500 | | | | | | |
| 4500 | QUEEN ELIZABETH'S GRAMMAR ACADEMY | 5 | 14,167 | 4 | 14,000 | 4.42 | 28,167 | | | | | | |
| 5410A | THE PINGLE AREA ERS | 26 | 65,000 | 29 | 103,833 | 27.75 | 168,833 | | | | | | |
| 5410C | THE PINGLE AUTISTIC UNIT | 15 | 47,500 | 15 | 66,500 | 15.00 | 114,000 | | | | | | |
| | | 257 | 705,833 | 252 | 956,667 | 254.08 | 1,662,500 | | | | | | |
| *Note that occupied places will be funded at £6,000 for 2018-19 resulting in a £4,000 increase in top up per place. The cost of this is estimated to be £904k. | | | | | | | | | | | | | |
| Post 16 High Needs Places | | | | | | | | | | | | | |
| 4034 | TUPTON HALL | | | | | | | 3 | 6,000 | 2 | 8,000 | 2 | 14,000 |
| 4054 | WILSTHORPE COMMUNITY | | | | | | | 1 | 2,000 | 0 | 0 | 0 | 2,000 |
| 4057 | NEW MILLS BUSINESS & ENTERPRISE COLLEGE | | | | | | | 3 | 6,000 | 0 | 0 | 1 | 6,000 |
| 4089 | ALDERCAR HIGH SCHOOL | | | | | | | 26 | 52,000 | 24 | 96,000 | 25 | 148,000 |
| 4174 | HIGHFIELDS | | | | | | | 1 | 2,000 | 1 | 4,000 | 1 | 6,000 |
| 4191 | GLOSSOPDALE COMMUNITY COLLEGE | | | | | | | 3 | 6,000 | 1 | 4,000 | 2 | 10,000 |
| 4505 | ANTHONY GELL | | | | | | | 1 | 2,000 | 2 | 8,000 | 2 | 10,000 |
| 5404 | BELPER SCHOOL AND SIXTH FORM CENTRE | | | | | | | 2 | 4,000 | 0 | 0 | 1 | 4,000 |
| 5409 | FRIESLAND | | | | | | | 2 | 4,000 | 1 | 4,000 | 1 | 8,000 |
| 5411 | LADY MANNERS | | | | | | | 2 | 4,000 | 2 | 8,000 | 2 | 12,000 |
| 4000 | SWANWICK HALL | | | | | | | 1 | 2,000 | 1 | 4,000 | 1 | 6,000 |
| 4052 | THE LONG EATON | | | | | | | 2 | 4,000 | 1 | 4,000 | 1 | 8,000 |
| 4111 | HOPE VALLEY COLLEGE | | | | | | | 24 | 48,000 | 22 | 88,000 | 23 | 136,000 |
| 4196 | BROOKFIELD COMMUNITY: A SPECIALIST SPORTS COLLEGE | | | | | | | 3 | 6,000 | 2 | 8,000 | 2 | 14,000 |
| 5400 | NETHERTHORPE | | | | | | | 4 | 8,000 | 3 | 12,000 | 3 | 20,000 |
| 5401 | THE ECCLESBOURNE | | | | | | | 2 | 4,000 | 2 | 8,000 | 2 | 12,000 |
| 5408 | HEANOR GATE SCIENCE COLLEGE | | | | | | | 1 | 2,000 | 1 | 4,000 | 1 | 6,000 |
| 5410 | THE PINGLE | | | | | | | 2 | 4,000 | 4 | 16,000 | 3 | 20,000 |
| 5413 | ST MARY'S CATHOLIC HIGH | | | | | | | 3 | 6,000 | 3 | 12,000 | 3 | 18,000 |
| | | | | | | | | 86 | 172,000 | 72 | 288,000 | 77 | 460,000 |

| High Needs Places 2018-19 | | | | | | | | | | | | | Appendix 2 |
|---------------------------|-----------------|---------------|-----------|-----------|-----------|------|-----------|----------------|---------|--------|---------|------|------------|
| | | Pre 16 Places | | | | | | Post 16 Places | | | | | |
| DfE | School | April | £ | September | £ | Year | £ | April | £ | August | £ | Year | £ |
| Special Schools | | | | | | | | | | | | | |
| 7000 | Holly House | 43 | 179,167 | 43 | 250,833 | 43 | 430,000 | | | | | | |
| 7001 | Holbrook | 100 | 416,667 | 100 | 583,333 | 100 | 1,000,000 | 20 | 66,667 | 20 | 133,333 | 20 | 200,000 |
| 7005 | Brackenfield | 72 | 300,000 | 72 | 420,000 | 72 | 720,000 | | | | | | |
| 7006 | Ashgate Croft | 100 | 416,667 | 100 | 583,333 | 100 | 1,000,000 | 38 | 126,667 | 38 | 253,333 | 38 | 380,000 |
| 7009 | Swanwick Sports | 82 | 341,667 | 82 | 478,333 | 82 | 820,000 | | | | | | |
| 7012 | Stubbin Wood | 121 | 504,167 | 121 | 705,833 | 121 | 1,210,000 | 11 | 36,667 | 11 | 73,333 | 11 | 110,000 |
| 7014 | Bennerley | 84 | 350,000 | 84 | 490,000 | 84 | 840,000 | | | | | | |
| 7017 | Peak | 30 | 125,000 | 30 | 175,000 | 30 | 300,000 | 22 | 73,333 | 22 | 146,667 | 22 | 220,000 |
| 7018 | Alfreton Park | 67 | 279,167 | 67 | 390,833 | 67 | 670,000 | 17 | 56,667 | 17 | 113,333 | 17 | 170,000 |
| 7019 | Stanton Vale | 62 | 258,333 | 62 | 361,667 | 62 | 620,000 | 23 | 76,667 | 23 | 153,333 | 23 | 230,000 |
| | | 761 | 3,170,833 | 761 | 4,439,167 | 761 | 7,610,000 | 131 | 436,667 | 131 | 873,333 | 131 | 1,310,000 |
| PRU | | | | | | | | | | | | | |
| CIR1102 | Kirk Hallam | 12 | 50,000 | 12 | 70,000 | 12 | 120,000 | | | | | | |
| CCFFA21 | Sawley | 48 | 200,000 | 48 | 280,000 | 48 | 480,000 | | | | | | |
| CIR1109 | Breadsall | 21 | 87,500 | 21 | 122,500 | 21 | 210,000 | | | | | | |
| CIR1112 | AP | 75 | 312,500 | 75 | 437,500 | 75 | 750,000 | | | | | | |
| CIR1106 | Newhall | 16 | 66,667 | 16 | 93,333 | 16 | 160,000 | | | | | | |
| CIR1101 | Barrow Hill | 4 | 16,667 | 4 | 23,333 | 4 | 40,000 | | | | | | |
| CIR1111 | Hasland | 71 | 295,833 | 71 | 414,167 | 71 | 710,000 | | | | | | |
| CCFFA22 | Chapel | 15 | 62,500 | 15 | 87,500 | 15 | 150,000 | | | | | | |
| CIR1100 | Buxton | 10 | 41,667 | 10 | 58,333 | 10 | 100,000 | | | | | | |
| | | 272 | 1,133,333 | 272 | 1,586,667 | 272 | 2,720,000 | | | | | | |
| Colleges | | | | | | | | | | | | | |
| | Chesterfield | | | | | | | 75 | 150,000 | 67 | 268,000 | 70 | 418,000 |
| | Buxton | | | | | | | 13 | 26,000 | 46 | 184,000 | 32 | 210,000 |
| | | | | | | | | 88 | 176,000 | 113 | 452,000 | 103 | 628,000 |

| Special School Profile | Descriptor | 2017-18 Top Up £* |
|-------------------------------|---|--------------------------|
| MSI | Multi-Sensory Impairment | 49,108.08 |
| ECB | Extremely Challenging Behaviour | 49,108.08 |
| HD | High Dependency | 24,000.00 |
| SEMHD | Social Emotional & Mental Health Difficulties | 24,000.00 |
| ELD | Extreme Learning Difficulty | 17,168.17 |
| SEBD | Severe Emotional & Behavioural Difficulty | 16,079.05 |
| ECOM | Extreme Communication Difficulty | 15,269.66 |
| COM | Autism/Communication Difficulty | 11,119.32 |
| EBD | Emotional & Behavioural Difficulty | 10,860.89 |
| D&A | Specialist Nursery (FTE) | 9,827.19 |
| SSI | Severe Sight Impairment | 5,692.36 |
| PHYS | Severe Physical Impairment | 5,692.36 |
| SHI | Severe Hearing Impairment | 5,692.36 |
| SLD | Severe Learning Difficulty | 5,692.36 |
| OLD | Other Learning Difficulty | 1,557.53 |

| PRU Profile | 2017-18 Top Up £* |
|--|----------------------------------|
| Kirk Hallam | 17,400 |
| Sawley | 3,500 |
| Breadsall | 12,100 |
| Alternative Provision Team | 5,100 |
| Newhall | 20,000 |
| Barrow Hill | 17,800 |
| Hasland | 6,700 |
| Bolsover | 3,500 |
| Chapel | 7,800 |
| Buxton | 24,500 |
| ER School Profile | £ |
| A – Area ERS | 2,523.10 |
| (W' Bridge Prim, Chapel High, William Allitt, Glossopdale, Pingle, Hope Valley, QEGS | |
| B – Deaf/Hearing Impaired ERS | 3,855.74 |
| (Aldercar Inf, Langley Mill Jnr, New Whittington Prim, Aldercar Language College | |
| C – Autism ERS | 5,108.65 |
| Brampton Prim, Chapel Prim, Pilsley Prim, Springfield Jnr, Elmsleigh Inf, Tibshelf., Pingle, Outwood Newbold, Long Eaton | |
| D – Physical Impairment ERS | 15,744.48 |
| (Dunston Primary, Aldercar Language College, Hilltop) | |

* PRU & special school figures exclude the one-off funding to support school improvement and redundancy costs

| Sector | £m |
|--|---------------|
| Early Years including ETAEYS | 0.340 |
| DCC mainstream primary schools and academies | 5.970 |
| OLA mainstream primary schools and academies | 0.130 |
| DCC mainstream secondary schools, academies and colleges | 8.192 |
| ERS top ups | 2.240 |
| OLA mainstream secondary schools and academies | 0.371 |
| DCC special schools | 10.993 |
| OLA, Independent and non-maintained special schools | 6.814 |
| PRUs | 1.817 |
| Other individual school based SLAs | 0.770 |
| Total | 37.637 |

| Budget | £m |
|---|---------------|
| | |
| Specialist SEN services (SI, VI, HI, Pre school etc.) | 2.411 |
| SSSEN Service | 4.687 |
| Education Psychology Service (contribution to) | 0.400 |
| Behaviour Support | 1.263 |
| Integrated Pathways Service | 2.745 |
| Positive Play | 0.238 |
| Derbyshire Nurture | 0.313 |
| Behaviour Support TAs | 0.316 |
| Excluded pupils clawback | (0.361) |
| Virtual School | 0.922 |
| Early Help & SCIP (Strategies for Crisis Intervention & Prevention) | 0.590 |
| Advisers | 0.114 |
| Hospital tuition | 0.100 |
| SEN contingency | 0.300 |
| Vulnerable children's fund | 0.224 |
| Contribution to complex cases | 1.839 |
| Support for inclusion | 1.169 |
| Contribution to SEN transport | 0.080 |
| | |
| Total | 17.350 |

Summary of former ESG General Duties funded services to schools

Appendix 6

| Responsibilities local authorities hold for maintained schools only | Narrative | Impact of not retaining funds centrally |
|--|--|---|
| A. Statutory & regulatory duties | | |
| Functions of LA related to best value and provision of advice to governing bodies in procuring goods and services (Sch 2, 56) | Marginal additional cost | No contribution sought for 2018-19 |
| Budgeting and accounting functions relating to maintained schools (Sch 2, 73) | Revenue budget preparation, preparation of income and expenditure accounts for incorporation into the Authority's annual statement of accounts, external audit of grant claims and returns relating to education, in so far as those functions relate to maintained schools | No access to financial support, advice or guidance beyond that provided through the traded services arrangement. Alternative would be to increase traded services prices |
| Functions relating to the financing of maintained schools (Sch 2, 58) | Checking compliance with Financial Scheme of Management, monitoring community facilities operated by governing bodies, help with SFVS | Less external scrutiny of school operations, weaker governance, financial management and control. Increased risk of fraud |
| Authorisation and monitoring of expenditure in respect of schools which do not have delegated budgets and related financial administration (Sch 2, 57) | N/A – no schools have had powers removed in recent years | No contribution sought for 2018-19 |
| Monitoring of compliance with requirements in relation to the scheme for financing schools and the provision of community facilities by governing bodies (Sch 2, 58) | Mainly covered by internal audit below | No contribution sought for 2018-19 |
| Internal audit and other tasks related to the authority's chief finance officer's responsibilities under Section 151 of LGA 1972 for maintained schools (Sch 2, 59) | Provide guidance and support to schools in respect of internal control and governance frameworks i.e. Audit Matters newsletter. Respond to telephone calls requesting guidance and advice. Provide training to Governors, Head Teachers, Bursars and administrative staff on the management of public funds and reducing fraud exposure e.g. governor training sessions scheduled in November 2016. Undertake investigations into alleged fraudulent activities or mismanagement of school assets. Ensure the Council meets its statutory accounting | Less external scrutiny of school operations, weaker governance, financial management and control. Increased risk of fraud. Schools would be required to commission external audit to a standard and specification set by the Authority. This is likely to be more expensive than the current arrangements. |

| | | |
|---|---|--|
| | requirements. Provision of banking and exchequer services. Completion of statutory returns including Revenue Account (RA) and Revenue Outturn (RO) forms | |
| Functions made under Section 44 of the 2002 Act (Consistent Financial Reporting) (Sch 2, 60) | Preparation and submission of returns required DfE analysing schools budget and spending | Schools would have to prepare and submit the returns to the DfE directly. Support would be available but would be charged for. Ability of some schools, particularly small schools, to complete the returns a concern. |
| Investigations of employees or potential employees, with or without remuneration to work at or for schools under the direct management of the headteacher or governing body (Sch 2, 61) | Advice /Training/Policy Re: Disclosure and Barring Service (DBS) Trace Checks/Certificate of Good Conduct Waivers LA Designated Officer (LADO) Meetings Referrals to DBS and National College for Teaching and Learning | Schools would be required to undertake investigations themselves and meet the costs of any specialist HR advice directly. |
| Functions related to local government pensions and administration of teachers' pensions in relation to staff working at maintained schools under the direct management of the headteacher or governing body (Sch 2, 62) | Complete monthly return to Teachers' Pensions. Complete annual return for Teachers' Pensions and external audit. Liaise with external audit annually who verify that the correct amounts have been paid Updating payroll system with the implementation of changes to pension regulations as they affect pay. Deducting contributions from employees' pay into collection accounts, plus the appropriate employer's contribution. Reconciliation of deductions posted to collection account to payroll records to ensure they balance. Transfer local government pension contributions to the pension scheme. | Schools would be required to undertake this work themselves and meet the costs of any specialist Finance or pensions advice directly. |
| Retrospective membership of pension schemes where it would be inappropriate to expect a school to meet the cost (Sch 2, 75) | Very rare, if cost significant school can claim for support from re-pooled contingency fund | No contribution sought for 2018-19 |
| HR duties, including: | Dismissal Hearings including appeals (Redundancy, Ill Health, Disciplinary and | |

| | | |
|--|---|---|
| advice to schools on the management of staff, pay alterations, conditions of service and composition/ organisation of staff (Sch 2, 63); determination of conditions of service for non-teaching staff (Sch 2, 64); appointment or dismissal of employee functions (Sch 2, 65) | Capability) – Attendance at hearings, issuing of dismissal letters, administration of process. | Schools would be required to undertake this work themselves or buy them in, including the cost of any specialist HR support or advice. |
| | Employment Tribunals – Where the Council is named as a co-respondent, manage the response to ET applications. | |
| | Safeguarding Training | |
| | Single Status and JE Queries - Monitoring and reviewing the application of the approved Job Evaluation scheme for Support Staff in Schools including the moderation of evaluated posts in schools. | |
| | Headteacher Induction and Aspirant Heads | |
| | School Progress Review Meetings | |
| | Parental Complaints, FoI/Subject Access Requests, Cabinet Reports and other conditions of service work (e.g. removal of SSEN allowance) | |
| | Providing advice and guidance to schools in relation to disputes and strike action. | |
| Consultation costs relating to staffing (Sch 2, 66) | Work for SJCC including Formal meetings, working parties, preparation time and completion of actions. | <p>Costs would either have to be recouped via a traded service, but this would fragment the current arrangements.</p> <p>Work associated with facilities time could be recovered by an increase in the de-delegation rate</p> <p>Alternatively less work would be done in these areas which could increase the risk of employment relations becoming more difficult</p> |
| | Review, update and reissue policies and procedures for schools that are recommended to Governing Boards for adoption. | |
| | Facilities Time – Coordinating and advising on facilities and time off for representatives of the recognised Teachers Associations/Trade Unions | |
| | Responding to consultation documents from the DfE, LGA etc. on employment matters Undertaking consultations and negotiations with staff representatives on Council wide issues e.g. Single Status, Living Wage, Holiday pay etc. that may impact on maintained schools | Costs would be charged to individual schools |
| | TUPE processes where transferring staff are employees of the Authority. | |

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| Compliance with duties under Health and Safety at Work Act (Sch 2, 67) | Children's Services - Provision of safe systems of work and safe equipment. Provision of a safe place of work with safe access and egress. Provision of information, instruction, supervision and training as required. Ensure that schools provide a safe working environment. Consultation with employees on HR related matters. Ensure schools have a written Health and Safety Policy. Ensure safe use, handling, storage, and transport of articles and substances. Assess and manage significant risks | Schools would be required to undertake this work themselves or buy them in, including the cost of any specialist HR support or advice. |
| Provision of information to or at the request of the Crown relating to schools (Sch 2, 68) | Assimilation and submission of school census x3 and School Workforce Census. | Schools would be required to undertake this work themselves or buy them in, including the cost of any specialist ICT support or advice. |
| School companies (Sch 2, 69) | Minimal spend | No contribution sought for 2018-19 |
| Functions under the Equality Act 2010 (Sch 2, 70) | Advice and guidance and reasonable adjustments relating to policy and procedure e.g. recruitment, absence, redundancy; maternity cases, grievance. | Schools would be required to undertake this work themselves or buy them in, including the cost of any specialist HR support or advice. |
| Establish and maintaining computer systems, including data storage (Sch 2, 71) | Maintenance of secure portal for information sharing/data transfer. | If schools wanted continued access to systems a traded charge would have to be applied |
| Appointment of governors and payment of governor expenses (Sch 2, 72) | No figure | No contribution sought for 2018-19 |
| B. <u>Education welfare</u> | | |
| Inspection of attendance registers (Sch 2, 78) | No figure | No contribution sought for 2018-19 |

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| C. <u>Asset management</u> | | |
| <p>General landlord duties for all maintained schools (Sch 2, 76a & b (section 542(2)) Education Act 1996; School Premises Regulations 2012) to ensure that school buildings have:</p> <ul style="list-style-type: none"> • Appropriate facilities for pupils and staff (including medical and accommodation) • the ability to sustain appropriate loads • reasonable weather resistance • safe escape routes • appropriate acoustic levels • lighting, heating and ventilation which meets the required standards • adequate water supplies and drainage • playing fields of the appropriate standards • General health and safety duty as an employer for employees and others who may be affected (Health and Safety at Work etc Act 1974) • Management of the risk from asbestos in community school buildings (Control of Asbestos Regulations 2012) | <p>Corporate Resources Department: Undertaking annual landlord visits to ensure statutory compliance and in preparing floor layout plans for use in undertaking specific asset management duties such as fire risk assessments and asbestos surveys, maintaining schools access to the Council's asset management database which contains condition survey information, review and appropriate appeals of schools' rating assessments</p> <p>The Council maintains condition surveys on maintained schools for which it provides capital funding. Funding for school places is secured from the DfE and housing developers. Investments in schools are managed and include all necessary approvals.</p> <p>Children's Services: General support and advice from the Development Section on sites and buildings issues. Also extended service to maintained schools, briefing and advising headteachers, talking to governing bodies re school places etc.</p> | <p>The LA still carries the responsibility, if funding is not top-sliced individual schools would be charged for any work undertaken by the LA.</p> <p>Schools would be required to undertake this work themselves or buy them in, including the cost of any specialist support or advice.</p> |
| D. <u>Central Support Services</u> | | |
| Clothing grants (Sch 2, 52) | No spend, schools can provide support via PPG | No contribution sought for 2018-19 |
| Provision of tuition in music, or on other music-related activities (Sch 2, 53) | Music Partnership activities funded by a grant from the Arts Council | No contribution sought for 2018-19 |

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| Visual, creative and performing arts (Sch 2, 54) | No contribution sought | No contribution sought for 2018-19 |
| Outdoor education centres (but not centres mainly for the provision of organised games, swimming or athletics) (Sch 2, 55) | LA subsidises its Outdoor Education Service – Lea Green and Whitehall. | No contribution sought for 2018-19, schools buy the service directly |
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| E. <u>Monitoring national curriculum assessment</u> | | |
| Monitoring of National Curriculum assessments (Sch 2, 74) | <p>Schools receive moderation and monitoring visits in line with all statutory requirements:</p> <ul style="list-style-type: none"> - moderation of end of EYFS assessments at least once every four years - moderation of end of key stage one teacher assessments at least once every four years in primary schools (and every other year in infant schools if this remains a statutory requirement) - moderation of Year 6 writing teacher assessments at least once every four years - unannounced monitoring visits to observe administration processes for the phonics screening check at least once every four years - unannounced monitoring visits to observe administration processes for key stage two SATS <p>More frequent visits are arranged if there are teachers new to teaching in Year 2 or in Year 6; if head teachers request moderation; if the school is in an Ofsted category. These visits are also in line with statutory requirements of the DfE.</p> | The LA still carries the responsibility, if funding is not top-sliced individual schools would be charged for any work undertaken by the LA. |