

# Public Document Pack



## Schools Forum

Monday, 12 October 2015 4.00 p.m.  
Council Chamber, Runcorn Town Hall

A handwritten signature in black ink, appearing to read 'David W R'.

**Chief Executive**

*Please contact Ann Jones - Tel: 0151 511 8276 or email:  
ann.jones@halton.gov.uk for further information.  
The next meeting of the Committee is on Wednesday, 20 January 2016*

**ITEMS TO BE DEALT WITH  
IN THE PRESENCE OF THE PRESS AND PUBLIC**

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*In accordance with the Health and Safety at Work Act the Council is required to notify those attending meetings of the fire evacuation procedures. A copy has previously been circulated to Members and instructions are located in all rooms within the Civic block.*

**SCHOOLS FORUM**

*At a meeting of the Schools Forum on Monday, 22 June 2015 at The Board Room - Municipal Building, Widnes*

Present: Councillor Philbin, Observer  
 J. Rigby (Chairman), Secondary Academy Representative  
 M. Constantine, Special Schools Representative  
 L. Fox, Secondary Academy Representative  
 J. Coughlan, Primary Representative - Infant School  
 L. Feakes, School with Nursery Unit  
 A. Brown, Nursery Schools  
 R. Collings, Primary Representative - Infant School  
 E. Hall, All Through School Representative  
 N. Hunt, Pupil Referral Unit Representative  
 L. Rhodes, Riverside College  
 K. Landrum, Primary Representative - VA School  
 J. O'Connor, PVI Representative  
 K. Albiston, PVI Representative  
 A. Jones, Financial Management, HBC  
 A. McIntyre, Children and Enterprise  
 A. Jones, Democratic Services  
 N. Unsworth, Financial Management, HBC  
 A. Hough, named substitute for D Moran, Primary Academy Representative  
 D. Baugh, Pewithall Primary School (SCF55 refers)

*Action*

## SCF1 APOLOGIES FOR ABSENCE

Apologies had been received from Deborah Burke.

## SCF2 MINUTES &amp; MATTERS ARISING

The minutes of the meeting held on 16 March 2015 were agreed as a correct record. Officers provided the following updates:

SCF 47 – Top Up Funding Levels for 2015-16 – the working group had not been set up yet as it was being done in collaboration with CWAC and discussions were ongoing. The Forum would be updated in the Autumn.

Ann McIntyre

SCF 48 – Early Years Funding for 2015-16 – the complete document *Early Years Cash Values for 2015-16* would be emailed to members after the meeting.

Anne Jones

SCF 50 – Nurture Group Pilot Funding – the pilots had not yet begun and would be looked at in the Autumn.

### SCF3 MEMBERSHIP UPDATE

The Forum was advised that two new Members had been nominated by their sector and elected to join the Schools Forum, namely Kathryn Albiston and Jane O'Connor, both representing the PVI Sector.

It was also reported that the two vacancies: Primary Governor Representative (Small School) and Secondary Academy Representative, both remained vacant.

RESOLVED: That the update be noted.

### SCF4 NOMINATIONS FOR CHAIRMAN & VICE CHAIRMAN ROLES

The Chairman requested nominations for the roles of Chairman and Vice Chairman, as both had completed the recommended two year term.

The Forum was advised that since the publication of the agenda, no nominations had been received for the roles. The request was repeated at the meeting, with no volunteers coming forward either. Considering these circumstances the Chairman and Vice Chairman volunteered to continue their roles.

RESOLVED: That Schools Forum:

- 1) Agrees to the appointment of John Rigby as the Chairman for a period of two years; and
- 2) Agrees to the appointment of Marjorie Constantine as Vice Chairman for a period of two years.

### SCF5 REQUEST FOR FINANCIAL ASSISTANCE

The Forum received an application for financial assistance from Mr David Baugh, the Headteacher of Petwithall Primary School, as described in his application form contained in the agenda.

The Forum requested clarity from Mr Baugh on some of the information provided in order to assist them with their decision.

The Forum then considered circumstances which led to the application for the amount of £25,000 and the rationale behind this. They debated the request and determined that although the instances described had

unfortunately occurred around the same time and were unforeseen, they were not considered exceptional, as many other schools in the Borough had experienced similar difficulties.

The Forum proceeded to a vote and the request for financial assistance was declined.

RESOLVED: That the request from Pewithall for financial assistance of £25,000 be declined.

SCF6 SCHEME FOR FINANCING SCHOOLS

The Schools Forum received the revised Scheme for Financing Schools (SFFS) that had been put out to consultation to maintained schools on 8 June with a closing date for comments by Friday 19 June 2015. The *Halton Borough Council, Scheme for Financing Schools – Revised April 2015*, was appended to the report.

The revised Scheme had been drafted by a working group of Officers and school representatives from each sector. Officers advised the Forum that no comments had been received from any school during the consultation. Officers requested that the Halton SFFS be implemented on 1 September 2015 with an aim to review this in the summer term each year following consultations, and make revisions where necessary.

The report went on to advise that on 28 May 2015 the Education Funding Agency (EFA) announced it was proposing two changes to the SFFS, the details of these were contained in the report and the closing date for the consultation for these proposals closed on 25 June 2015.

RESOLVED: that the maintained schools representatives approve the revised Halton Scheme for Financing Schools to come into effect from 1 September 2015.

SCF7 DSG OUTTURN 2014-15

The Forum received the Dedicated Schools Grant (DSG) position for 2014-15 and the amount of DSG to be carried forward in the 2015-16 financial year.

Members noted the information provided in the report and that the unspent DSG from 2014-15 to be brought forward to 2015-16 was £2.6m. Officers advised that regular monitoring meetings would be held over the course of the

year to identify areas of concern and in order to put in place ways of minimising over spends for the coming year.

RESOLVED: That Schools Forum note that the amount of unspent DSG from 2014-15 (£2,625,589) will be carried forward into the 2015-16.

SCF8 CONTINGENCY UPDATE

The Schools Forum received an update on the value of the Dedicated Schools Grant contingencies for 2015-16. These balances were as follows:

General Schools Contingency - for 2015-16 was £207,966. To date support had been agreed for The Grange School and Licences, which left a balance of **£100,930**;

Pupil Growth Contingency – for 2015-16 was £100,000 plus a carry forward of £80,001, giving a total of **£180,001**;

High Needs Contingency – for 2015-16 was £1,129,210 plus a carry forward from 2014-15 of £404,726, giving a total of £1,533,936. Noted that a value of £356,242 had been agreed for Ashley post 16 and post 16 administration, which left a balance of **£1,177,694**;

Early Years Contingency – for 2015-16 was currently nil. There was a carry forward of £142,996 but there would be a reduction of £74,000 in the Early Years budget. The remaining balance was **£25,702** following the financial support of £43,294 to Ditton Nursery.

Total Central Contingency – carry forward from 2014-15 was £1,840,337 with £50,000 committed as a contribution to IWIST, leaving a balance of **£1,790,337**.

RESOLVED: That Schools Forum notes the current balance on each of the contingencies.

SCF9 SCHOOLS BALANCES 2014-15

The Forum received the level of balances brought forward from 2014-15 by Halton Schools.

It was noted that following the Schools Forum meeting in January 2013, the excess surplus balance limits previously imposed on schools were lifted for 2012-13 and this had continued up to 2014-15, with the balances still being monitored.

It was reported that level of balances in the Individual School Budget held by Halton Schools brought forward into 2015-16 was £7,451,751. This was an increase of £120,224 to the balance carried forward into 2014-15 of £7,331,527.

Officers advised that given the increasing pressures on the Dedicated Schools Budget as a whole, it was strongly recommended that schools with balances above the former excess surplus balance limit be requested to provide an explanation as to how they planned to spend this high balance. Further, they recommended that Schools Forum agree that schools with balances above the former excess surplus balance limit be required to provide an explanation for submission to Schools Forum in future years, with the Schools Balances report at the Summer Term meeting.

The Forum agreed with officers concerns regarding the high excess balances in some schools and the need for transparency. They agreed that the recommendations mentioned in the report be implemented. Ann McIntyre advised that for uniformity a pro forma could be designed for the purpose of providing a balance statement to the Schools Forum.

Appendix A to the report provided details of the Individual School Budget balances with comparison to the previous year and schools which had balances above the former excess surplus balance limit were highlighted. Appendix B detailed the Non-LMS (Devolved Formula Capital) balances brought forward into 2015-16.

RESOLVED: That Schools Forum:

Ann McIntyre

- 1) notes the report;
- 2) requests explanations from schools which have balances in excess of 8% (5% for secondary schools) as to why their balances are so high; and
- 3) requests that schools with carry forward levels in excess of 8% (5% for secondary schools) provide explanations for those levels and these be submitted to schools Forum with the school balances report each summer term.

#### SCF10 PUPIL PREMIUM PLUS

Schools Forum received an update on the expenditure profile of the Pupil Premium Plus grant for Children in Care 2014-15.

It was reported that the Pupil Premium Plus (PP+) for Children in Care (CIC) was governed by the conditions of grant published by the Department of Education (DfE). In February 2014 these conditions changed resulting in significant differences from the conditions applied in previous years. The report provided a summary of the major differences. It was also reported that the DfE produced further statutory guidance (March 2014) that described the '*Role of the Virtual School Head in managing the PP+ for Children in Care*' and a summary of the key differences here were also provided in the report.

It was noted that in response to these changes, Halton adopted a 'child's individual needs driven model' of allocation that was linked to the completion of effective, timely and high quality PEPs. This also coincided with the move to termly PEPs as outlined in the revised statutory guidance for Local Authorities on 'Promoting the education of looked after children' (July 2014). A summary of the key overarching principles of the model adopted by Halton was presented in the report which was deemed to be good practice by Ofsted during Halton's recent inspection (Nov-Dec 2014).

Further detailed information was provided to Members on the financial allocation of PP+ for CIC in 2014-15. It was noted that the total grant allocation of PP+ for CIC for 2014-15 was £323,000. Officers advised that a further report would be brought to Schools Forum in October.

RESOLVED: That Schools Forum notes the use of the Pupil Premium Plus for Children in Care for 2014-15.

#### SCF11 PERSONAL BUDGETS PRESENTATION

The Operational Director – Education, Inclusion and Provision, presented an overview to the Forum on the implementation of Personal Budgets for Children and Young People with Educational Health and Care Plans (EHCP).

The Forum was advised that a Personal Budget was an amount of money provided to support a person's identified needs – planned and agreed between the person and the local public service. In SEND, a Personal Budget was a sum of money that may be available for children and young people who needed extra help. It enabled parents and young people more choice and control over the services they received and could be requested at any time during the assessment or review. The EHCP would offer a Personal



Budget for aspects of the provision outlined following the assessment if the client wished and was eligible.

The presentation detailed the eligibility criteria and how the Personal Budgets worked. It was reported that the Budgets could be provided in four ways:

- Direct payments – to the individual who would then contract, purchase and manage the services themselves;
- Organised/notional arrangements – where the LA retained the funds and commissioned the support specified in the EHCP;
- Third party arrangements/nominees – where funds were paid to an individual or another organisation on behalf of the parent/young person, so they managed the funds;
- A combination of the above.

The process for obtaining a Personal Budget was then outlined and further details on Direct Payments and the conditions surrounding them were provided. It was noted at this point that a schools high needs funding could only be included with the permission of that school or college.

The Forum queried the monitoring of outcomes of the EHCPs and it was noted that the Council would carefully monitor these in respect of the money being spent correctly and efficiently, and in respect of an individual's progress using the services. Additionally, the commissioned agencies would need to monitor and plan to ensure that outcomes and provision in the EHCP were being met.

It was noted that the policy guide on Personal Budgets in Halton would soon be finalised and that all schools would be briefed on these as part of the implementation process. It was hoped that from September there would be a number of pilot cases in place so that these could be reviewed and revised if necessary.

RESOLVED: That Schools Forum:

- 1) Note the contents of the presentation; and
- 2) Supports the proposed approach and the next steps for implementation.

SCF12 ANALYSIS OF LOCAL AUTHORITIES' SCHOOLS BLOCK FUNDING FORMULAE

The Senior Finance Officer presented the Forum with

an overview of the formula factor values chosen by local authorities to set their Schools Block funding formula for 2015-16.

Members were advised that the Education Funding Agency (EFA) had published a report giving an overview of the funding formula submitted by each local authority (appendix A). The report provided charts and brief commentary on the ranges of unit funding amounts they had selected and the proportions of the School Block funding attributed under each of the permitted factors.

It was noted that on each graph the cash value that corresponded to Halton's funding formula was highlighted in yellow. The EFA had also published a data file showing each element for each funding factor which could be used to compare cash values across other local authorities.

RESOLVED: That Schools Forum notes the report.

*Meeting ended at 5.50 p.m.*



Education  
Funding  
Agency

# Schools forum

Operational and good practice guide

March 2015

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## Introduction

1. This guide is designed to provide local authority officers and school forum elected members with advice and information on good practice in relation to the operation of schools forums.
2. It is organised in two sections:
  - Section 1 provides information on the constitutional and organisational requirements for schools forums; and
  - Section 2 covers a number of key aspects of the operation of schools forums at local level, drawing on good practice from a number of schools forums.
3. The guide draws on the experience and knowledge of schools forum members, local authority members and officers and the Department and its partners. Other than where it is describing requirements set out in the Schools Forum Regulations 2012 it is not designed to be prescriptive – what is good practice in one schools forum may not be appropriate in another, given the diverse circumstances of local areas. However, it is hoped the guide will stimulate some debate within schools forums and contribute to their ongoing development.
4. The Department hopes that schools forums and local authorities find this guide useful. It has been the subject of consultation with a wide variety of external partners. In particular, members of the Department’s Schools and Academies Funding Group, made up of representatives from central and local government, teaching associations, unions representing support staff as well as organisations representing academies and governors, have provided valuable input and advice on the content of the guide. The Department is grateful for their assistance.
5. The Department’s website contains details of all the announcements, documents and other information relating to school funding and schools forums. This website also has a range of useful links to other sites that may be of relevance to schools forum members.
6. A short [guide to the schools forum for schools and academies](#), which may be helpful to stakeholders and the wider school family, is available on GOV.UK.
7. If you have any queries about the operation of schools forums please contact [schools forum team](#) at the Education Funding Agency

The postal address is:

Education Funding Agency  
Sanctuary Buildings  
Great Smith Street  
Westminster  
London  
SW1P 3BT

## Section 1 – schools forum regulations: constitution and procedural issues

### Regulations

8. [National regulations](#)<sup>1</sup> govern the composition, constitution and procedures of schools forums. Local authorities can provide schools forum members with a copy of these regulations or alternatively they can be accessed at:
9. A short [guide to the schools forum for schools and academies](#) is also available to provide a wider understanding of the work of schools forums.

### Schools forum powers

10. Schools forums generally have a consultative role. However, there are situations in which they have decision-making powers. The respective roles of schools forums, local authorities and the DfE are summarised in [schools forum powers and responsibilities](#). The overarching areas on which schools forums make decisions on local authority proposals are:

- De-delegation from mainstream schools budgets (separate approval will be required by the primary and secondary phase members of schools forum), for prescribed services to be provided centrally.
- To create a fund for significant pupil growth in order to support the local authority's duty for place planning (basic need), including pre-opening and diseconomy of scale costs, and agree the criteria for maintained schools and academies to access this fund.
- To create a fund for falling rolls for good or outstanding schools if the schools' surplus capacity is likely to be needed within the next three years to meet rising pupil numbers and agree the criteria for maintained schools and academies to access this fund.
- Continued funding at existing levels for prescribed historic commitments where the effect of delegating this funding would be destabilising.
- Funding for the local authority in order to meet prescribed statutory duties placed upon it. Approval is required to confirm the amounts for each duty and no new commitments or increases in expenditure from 2013/14 are permitted unless agreed by the Secretary of State.
- Funding for central early years expenditure, which may include funding for checking eligibility of pupils for an early years place, the early years pupil premium and/or free school meals.

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<sup>1</sup> Schools Forums (England) Regulations 2012 (S.I. 2012/2261) (as amended)

- Authorising a reduction in the schools budget in order to fund a deficit arising in central expenditure that is to be carried forward from a previous funding period.
- In each of these cases, the local authority can appeal to the Secretary of State if the schools forum rejects its proposal.

11. Local Authorities should be aware that the provisions of the [Local Government Act 2000](#) restrict the delegation of local authority decisions to Cabinet, a member of Cabinet, a Committee of Cabinet or an officer of the Council, which would not include schools forums. As a result the local authority cannot delegate its decision making powers to schools forum, e.g. decisions on the funding formula.

12. Regulations state that the local authority must consult the schools forum annually in connection with various schools budget functions, namely:

- amendments to the school funding formula, for which the voting is restricted by the exclusion of non-schools members except for PVI representatives
- arrangements for the education of pupils with special educational needs in particular the places to be commissioned by the LA and schools and the arrangements for paying top-up funding
- arrangements for the use of pupil referral units and the education of children otherwise than at school, in particular the places to be commissioned by the LA and schools and the arrangements for paying top-up funding
- arrangements for early years provision
- administrative arrangements for the allocation of central government grants paid to schools via the local authority

There is no specific definition of these consultation requirements over and above the wording in the regulations. It is a matter for the local authority to decide on the appropriate level of detail it needs to generate a sufficiently informed response from schools forum.

13. Consultation must also take place when a local authority is proposing a contract for supplies and services which is to be funded from the Schools Budget and is in excess of the EU procurement thresholds. The consultation must cover the terms of the contract at least one month prior to the issue of invitations to tender.

14. The schools forum has the responsibility of informing the governing bodies of all schools maintained by the local authority of the results of any consultations carried out by the local authority relating to the issues in paragraphs 12 and 13 above.

15. Local authorities will need to discuss with the schools forum any proposals that they intend to put to the Secretary of State to:

- vary the MFG,
- use exceptional factors
- vary pupil numbers
- allow additional categories of, or spending on, central budgets



- amend the sparsity factor
- vary the lump sum for amalgamating schools
- vary the protection for special schools and special academies

Proposals will then need to be approved by the Secretary of State.

### Membership

16. The Schools Forums Regulations provide a framework for the appointment of members, but allow a considerable degree of discretion in order to accommodate local priorities and practice. A quick guide to the [structure of the schools forums](#) is available.

17. There is no maximum or minimum size of a schools forum. Authorities will wish to take various issues into account in deciding the actual size, including the need to have full representation for various types of school, and the local authority's policy on representation of non-schools members. However, care should be taken to keep the schools forum to a reasonable size to ensure that it does not become too unwieldy.

18. Types of member: schools forums must have 'schools members', 'academies member(s)' if there is at least one academy in the local authority's area and 'non-schools members'. Schools and academies members together must number at least two-thirds of the total membership of the schools forum and the balance between maintained primary, maintained secondary and academies members must be broadly proportionate to the pupil numbers in each category, so the structure of Forum should be regularly reviewed, e.g. annually. Academies members must represent mainstream academies and, if there are any in the LA area, special academies and alternative provision academies. There is no requirement for academies members to represent specific primary and secondary phases, but it may be encouraged to ensure representation remains broadly proportionate to pupil numbers. Academy members must be separately elected and designated from maintained school representatives.

19. Schools forum members will need the skills and competencies to manage Forum business (as detailed in [school forum powers and responsibilities](#)) and to take a strategic view across the whole education estate whilst acting as representative of the group that has elected them. Furthermore, they should be easily contactable and pro-active in raising the profile of issues and communicate decisions, and the reasons behind them, effectively.

### Term of office

20. The term of office for each schools member and academies member should be stipulated by the local authority at the time of appointment. Such stipulation should follow published rules and be applied in a consistent manner between members. They need not have identical terms – there may be a case for varied terms so that there is continuity of experience rather than there being a complete change in the membership at a single

point. The term of office should not be of a length that would hinder the requirement for the structure of the schools forum to mirror the type of provision in light of the pace of academy conversions. Examples of how this may work include:

- Holding vacancies until the schools forum structure is reviewed providing that this does not mean holding vacancies for an unreasonable length of time
- Increasing the size of the schools forum temporarily to appoint additional academy members, then delete schools member posts at the end of a term of office or when a vacancy arises
- Consider continuity of service – where an academy conversion affects the school of a current schools member, would academies consider appointing that person as an academies member?

21. The length of term of office for non-schools members is at the discretion of the local authority. Schools and academies must be informed, within a month of the appointment of any non-schools member, of the name of the member and the name of the body that that member represents.

22. As well as the term of office coming to an end, a member ceases to be a member of the Schools Forum if he or she resigns from the schools forum or no longer occupies the office by which he or she became eligible for election, selection or appointment to the schools forum. For example, a secondary schools member must stand down if their school converts to an academy. A schools member representing community primary school governors who is no longer a governor of a community primary school in the relevant local authority must cease to hold office on the schools forum even if they remain a governor of a school represented by another group or sub-group. Other situations in which membership of the schools forum ends are if a member gives notice in writing to the local authority and, in the case of a non-schools member, the member is replaced by the local authority, for example at the request of the body which the member represents.

### **Schools members**

23. Schools members represent specified phases or types of maintained schools within the local authority. As a minimum, schools forums must contain representatives of two groups of schools: primary and secondary schools, unless there are no primary or secondary schools maintained by the LA. Middle schools and all through schools are treated according to their deemed status.

24. Where a local authority maintains one or more special schools the schools forum must have at least one schools member from that sector. The same applies to nursery schools and pupil referral units (PRUs).

25. The local authority then has discretion to divide the groups referred to in paragraph 16 and 17 into one or more of the following sub-groups:

- headteachers or headteachers' representatives in each group;
- governors in each group;
- headteachers or headteachers representatives and governors in each group;
- representatives of a particular school category, e.g. voluntary aided.

26. Headteachers can be represented by other senior members of staff within their school. Governors can include interim executive members of an interim executive board. The sub-groups do not have to be of equal size – for example, there may be more representatives of headteachers of primary schools than governors of such schools, or vice versa. The membership structure of the schools forum should ensure there is sufficient representation of each type of schools member in each group to ensure that debate within the schools forum is balanced and representative. As a minimum, there must be at least one representative of headteachers and one representative of governors among the schools members.

27. Whatever the membership structure of schools members on a schools forum, the important issue is that it should reflect most effectively the profile of education provision across the local authority to ensure that there is not an in-built bias towards any one phase or group.

### **Election and nomination of schools members**

28. The relevant group or sub-group is probably best placed to determine how their schools members should be elected.

29. It is good practice for those who draw up the scheme to ensure that a vacancy amongst a represented group would be filled by a nominee elected according to a process that has been determined by all those represented in that group, e.g. community primary school headteachers, or secondary school governors, ensuring that everyone represented has had the opportunity to stand for election and/or vote in such an election. The process must be restricted to the group in question – a headteachers phase group could only vote as a whole for headteacher members if the voting excluded academies, as academies members form a separate group.

30. It is not appropriate for a single person to be elected to represent more than one group or sub-group concurrently, i.e. if they were a governor at a primary and secondary school. They can stand for election from either group but can be appointed to represent only one of those groups.

31. The purpose of ensuring that each group or sub-group is responsible for their election process is to guarantee that there is a transparent and representative process by which members of schools forums are nominated to represent their constituents.

32. Appropriate support to each group or sub-group to manage their election processes should be offered by the clerk of a schools forum, or the committee/democratic services of a local authority. This may just include the provision of

advice but may also consist of providing administrative support in actually running the elections themselves.

33. As a minimum, we would recommend that the clerk of a schools forum make a record of the process by which the relevant schools within each group and sub-group elect their nominees to the schools forum and be able to advise the Chair of the schools forum and local authority on action that needs to be taken, where necessary, to seek new nominees.

34. In determining the process by which elections should be operated it is perfectly legitimate for a local authority to devise, in consultation with their schools forum, a model scheme for the relevant schools within a group or sub-group to consider and be invited to adopt. However, such a model scheme cannot be imposed on that body of schools: adaptations and/or alternative schemes may be adopted. A single scheme need not be adopted universally.

35. Care should be taken to ensure that every eligible member of a group or sub-group has an opportunity to be involved in the determination of their group's election process, is given the opportunity to stand for election if they choose to do so, and is involved in the election of their representative(s).

36. It would not be compliant with the regulations for the steering committee or Chair of a 'parent' group simply to make a nomination to represent their group or sub-group on a schools forum. Schools members must be elected, subject to paragraph 39 below.

37. The local authority may set a date by which the election should take place and must appoint the schools member if the election has not taken place by that date. The person appointed should be a member of the relevant group.

38. We would recommend that any scheme takes into account a number of factors:

- the process for collecting names of those wishing to stand for election;
- the timescale for notifying all constituents of the election and those standing;
- the arrangements for dispatching and receiving ballots;
- the arrangements for counting and publicising the results;
- any arrangements for unusual circumstances such as only one candidate standing in an election; and
- whether existing members can stand for re-election.

39. In the event of a tie between two or more candidates, then the local authority must appoint the schools member instead. The local authority may decide to appoint someone else rather than one of the candidates and might wish to take into account the experience or expertise of the individuals, and the balance between the different types of school represented on the schools forum.

## **Election and nomination of academies members**

40. Academies members must be elected by the proprietor bodies of the academies in the local authority's area, and they are probably best placed to determine the process. Academies members are there to represent the proprietor bodies of academies and are, therefore, not necessarily restricted to principals, senior staff or governors. The same factors should be taken into account as for the election of schools members, set out in paragraphs 28 to 39. For the avoidance of doubt, Free Schools, University Technical Colleges and Studio Schools are classed as academies for this purpose. There is no distinction between sponsored, non-recoupment and converter academies.

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

42. Where there is only one academy in a sub-group in the local authority's area, then their proprietor body must select the person who will represent them.

43. It is possible that a single person be appointed as an academies member to more than one schools forum, for example if an academy chain is located across multiple local authorities, providing they are elected on each occasion in accordance with the agreed election process for each separate schools forum.

44. As with schools members, the local authority may set a date by which the election should take place and must appoint an academies member if the election does not take place by that date, or if an election results in a tie between two or more candidates.

## **Non-schools members**

45. Non-schools members may number no more than a third of a schools forum's total membership (excluding observers – see paragraph 58). A representative of providers of 16-19 education must be elected from those providers. This includes those in the FE sector (FE and sixth form colleges) and other post-school institutions that specialise in special education needs (SPNs), where 20% or more of their students reside in the local authority's area. As with academies the providers are probably best placed to determine the election process.

46. The local authority must appoint at least one person to represent early years providers from the private, voluntary and independent (PVI) sector. Early years PVI settings need to be represented because funding for the free entitlement for three and

four year olds and eligible two year olds comes from the Dedicated Schools Grant, and all settings are funded through the Early Years Single Funding Formula (EYSFF).

47. Before appointing additional non-schools members to the schools forum, the local authority must consider whether the Church of England and Roman Catholic dioceses situated in the local authority's area; and, where there are schools or academies in the area with a different religious character, the appropriate faith group, should be represented on the schools forum. If diocesan authorities nominate members for appointment as non-schools members they may wish to consider what type of representative would be most appropriate – schools-based such as a headteacher or governor, or someone linked more generally with the diocese, e.g. a member of the education board.

48. It is also good practice for local authorities to ensure that the needs and interests of all the pupils in the local authority are adequately represented by the members of a schools forum. The interests of pupils in maintained schools can be represented by schools members. Some pupils in a local authority, however, are not in maintained schools but instead are educated in hospitals, independent special schools and non-maintained special schools. Certain types of non-schools members can play an important role in representing the interests of these groups of pupils. They can also play a role in representing the interests and views of the services that support those groups of vulnerable and at-risk pupils who nevertheless are on the roll of maintained schools, such as looked after children and children with special educational needs.

49. The purpose of non-schools members is also to bring greater breadth of discussion to schools forum meetings and ensure that stakeholders and partners other than schools are represented. Organisations which typically provide non-schools members are trades unions, professional associations and representatives of youth groups. Parent groups could also be considered. However, as there are clearly limited numbers of non-schools members able to be on a schools forum, care should be taken to ensure that an appropriate representation from wider stakeholders is achieved.

### Other membership issues

50. There are three restrictions placed on who can be a non-schools member of a schools forum. The local authority cannot appoint:

- an elected member of the local authority who is appointed to the executive of that local authority (a lead member/portfolio holder) 'executive members',
- the Director of Children's Services or any officer employed or engaged to work under the management of the Director of Children's Services, and who does not directly provide education to children (or manage those who do) ('relevant officer' (a) and (b)),
- other officers with a specific role in management of and/or who advise on funding for schools ('relevant officer' part (c)).

51. Schools forums have the power to approve a limited range of proposals from their local authority: the restrictions ensure that there is no conflict of interest between the proposing body (the local authority) and the approving body (the schools forum).

52. However, non-executive elected members and those officers who are employed in their capacity as headteachers or teachers and those who directly manage a service which provides education to individual children and/or advice to schools on, for example, learning and behavioural matters are eligible to be members of schools forums.

53. In the case of non-executive elected members, they may be a schools member (by virtue of them being a school governor), an academies member or a non-schools member. As a non-schools member they may be well placed to fulfil the broader overview and scrutiny role they have within the local authority in general.

54. However, the inclusion of non-executive elected members and certain officers is not a requirement. Many schools forums do not have such members on them and it is for each local authority and schools forum to consider how best to ensure the right balance of school and non-school representation on the schools forum, taking into account their local circumstances and preferences.

### **The role of executive elected members**

55. A schools forum needs to ensure that there are systems in place for executive members of the Council to be aware of its views on specific issues and, in particular, any decisions it takes in relation to the Schools Budget and individual budget shares.

56. Executive members with responsibility for education/children's services or resources of the local authority are able to participate in schools forum meetings. By doing so such elected members are able to contribute to the discussion and receive first-hand the views of the schools forum: it is clearly good practice for this to be the case and the regulations provide the right for executive members to attend and speak at schools forum meetings. However, there is no requirement for this to happen so at the very least there should be clear channels of communication between the schools forum and executive members. Communication may also be assisted if schools forum members attended relevant Cabinet meetings as members of the public, e.g. when the funding formula is decided.

### **Recording the composition of schools forums**

57. Each local authority must make a written record of the composition of its schools forum detailing the numbers of schools members and by which group or sub-group they were elected, the number of academies members and the number of non-schools members, their terms of office, how they were chosen and whom they represent. This record should also indicate the term of office for schools and academies members. It

would be helpful if this were published on the schools forum website so schools and wider stakeholders can easily find who their representatives are.

### Observers

58. The Regulations provide that the Secretary of State can appoint an observer to attend and speak at schools forum meetings, e.g. a representative from the Education Funding Agency (EFA). This allows a conduit for national policy to be discussed at a local level and provide access for schools forum to an additional support mechanism, e.g. where there are highly complex issues to resolve.

### Participation of local authority officers at meetings

59. Only specific officers can speak at meetings of the schools forum. These officers are:

- Director of Children's Services or their representative
- Chief Financial Officer or their representative
- Any person invited by the schools forum to provide financial or technical advice
- Any person presenting a paper to the schools forum but their ability to speak is limited to the paper that they are presenting.

60. In the majority of cases schools forums are supported by a specific officer. In the course of their work, however, schools forums will be required to consider a whole range of issues and they may consider it appropriate that other officers attend for specific items of business. Where this is the case, the local authority should meet the schools forum's requests as far as possible.

### Procedures

61. Many procedural matters are not prescribed in the regulations and are at the discretion either of the local authority or the schools forum itself. However, there are requirements in the regulations relating to:

- **Quorum:** A meeting is only quorate if 40% of the total membership is present (this excludes any observers, and it is 40% of the current membership excluding vacancies). If a meeting is inquorate it can proceed but it cannot legally take decisions (e.g. election of a Chair, or a decision relating to funding conferred by the funding regulations). An inquorate meeting can respond to local authority consultation, and give views to the local authority. It would normally be good practice for the local authority to take account of such 'unofficial' views, but it is not legally obliged to do so. In practice, the arrangements for meetings should be made to reduce the chance of a problem with the quorum. The quorum stipulation is in the regulations to help ensure the legitimacy of decisions;



- **Election of a Chair:** Under the Regulations, if the position of Chair falls vacant the schools forum must decide how long the term of office of the next Chair will be. This can be for any period, but the schools forum should consider carefully whether a period exceeding two years is sensible. A long period will also cause problems if the member elected as Chair has a term of office as a member which comes to an end before their term of office as Chair ends. The schools forum must elect a Chair from amongst its own members, so it is not possible to elect an independent Chair. In addition any elected member of the local authority or officer of the local authority who is a member of a schools forum may not hold the office of Chair. Schools forums can also appoint to a position of vice Chair to provide cover if the Chair is absent or the post vacant;
- **Voting procedures:** The Regulations provide that a schools forum may determine its own voting procedures save that voting on:
  - the funding formula is limited to schools members, academies members and PVI representatives
  - de-delegation will be limited to the specific primary and secondary phase of maintained schools members.
- **The powers which schools forums** have to take decisions on a range of funding matters increase the importance of clear procedures, e.g. decisions are made on a simple majority or the threshold to be met if higher. These procedures should take account of any use of working groups by the schools forum – for example a decision might be taken by voting to accept and adopt a report by a working group (see paragraph 65). As part of any voting procedure there should be clarity in the procedures for recording the outcome of a vote, and any resolutions a schools forum makes in relation to any vote taken;
- **Substitutes:** The local authority must make arrangements to enable substitutes to attend and vote (where appropriate) at schools forum meetings. This applies to schools members, academies members and non-schools members. The arrangements must be decided in consultation with schools forum members.
- **Defects and vacancies:** The Regulations provide that proceedings of the schools forum are not invalidated by defects in the election or appointment of any member, or the appointment of the Chair. Nor does the existence of any vacancy on the schools forum invalidate proceedings (see paragraph 61 on quorum).
- **Timing:** schools forums must meet at least four times a year

62. Where the regulations make no provision on a procedural matter, local discretion should be exercised. It is for the local authority to decide how far it wishes to establish rules for the schools forum to follow, in the form of standing orders. While it is entitled to do so, it is of course good practice to allow the schools forum to set its own rules so far as possible.

## Public access

63. Schools forums are more than just consultative bodies. They also have an important role to play in approving certain proposals from their local authority and are therefore involved in the decision making process surrounding the use of public money at local level. As a result schools forums are required to be open to the public. Furthermore papers, agendas and minutes must be publicly available well in advance of each meeting. It is good practice that notification that the schools forum is a public meeting is included on the website and papers are published at least a week in advance. Local authorities should ensure that the websites are accessible and easy to find.

64. Some schools forums already operate very much along the lines of a local authority committee. This is perfectly legitimate and will provide a consistent framework for the running of meetings that are open to the public, and the publishing of papers and agendas well in advance of the meeting and minutes published promptly as required under Regulation 8(13) of the Schools Forum Regulations 2012.

## Working groups

65. It is open to a schools forum to set up working groups of members to discuss specific issues, and to produce draft advice and decisions for the schools forum itself to consider. The groups can also include wider representation - for example, an early years reference group can represent all the different types of provider to consider the detail of the early years single funding formula. The reference group would then be able to give its considered view on the local authority's proposals to the schools forum. The schools forum should not delegate actual decisions or the finalisation of advice to a working group, as this may have the effect of excluding legitimate points of view.

## Urgent business

66. It is good practice for the local authority to agree with its schools forum an urgency procedure to be followed when there is a genuine business need for a decision or formal view to be expressed by the schools forum, before the next scheduled meeting. The local authority may of course call an unscheduled meeting; but it may also wish to put in place alternative arrangements such as clearance by email correspondence or some other means. Such instances should be avoided so far as possible but are legitimate provided all members of the schools forum have an opportunity to participate, the logistics provide a reasonable opportunity for consideration and the local authority policy on data security is not compromised.

67. It is not legal for the Chair to take a decision on behalf of the schools forum, no matter how urgent the matter in question; but a schools forum may wish to put in place a procedure for the Chair to give the local authority a view on an urgent issue.

## Resources of the schools forum

68. The costs of a schools forum fall in the centrally retained budget portion of the Schools Block of local authorities.

69. It is legitimate to charge the running costs of schools forums to this budget including any agreed and reasonable expenses for members attending meetings, the costs of producing and distributing papers and costs room hire and refreshments and for clerking of meetings. Beyond these costs some schools forums have a budget of their own to use for activities such as commissioning research or other reports. The [2014 School and Early Years Finance Regulations](#) provide that the level of resource devoted to running schools forums in 2015-16 is limited to 2014-15 levels unless the Secretary of State agrees an increase.

## Section 2 – effective schools forums

### Introduction

70. As the previous section outlined, local authorities have responsibility for establishing schools forums. They also have an ongoing responsibility to provide them with appropriate support, information and guidance in carrying out their functions and responsibilities.

71. The following outlines some aspects of what local authorities and schools forums should consider in ensuring that their schools forums are as effective as possible. The pace of academy conversions in particular means that this significant sector must be properly represented and feel that it is able to play a meaningful part in the discussions of the schools forum.

72. Central to the effectiveness or otherwise of a schools forum will be the relationship between it and its local authority. The local authority will have a significant influence on this: the support it provides; the resources it devotes and the weight it gives to the views of schools forums all contribute to the nature of the relationship. There are therefore a number of characteristics of this relationship that are particularly important:

- Partnership: Having a shared understanding of the priorities, issues and concerns of schools, academies and the local authority.
- Effective Support: The business of the schools forum is supported by the local authority in an efficient and professional manner.
- Openness: It is important that a schools forum feels it is receiving open, honest and objective advice from its local authority.
- Responsiveness: Local authorities should as far as possible be responsive to requests from their schools forums and their members. Schools forums themselves should also be aware of the resource implications of their requests.
- Strategic view: Members of schools forum should consider the needs of the whole of the educational community, rather than using their position on a schools forum to advance their own sectional or specific interests.
- Challenge and Scrutiny: schools forums may be asked to agree to proposals from their local authority that will have an effect on all schools and academies in the local area. The extent to which schools forums can scrutinise and challenge such proposals is an important aspect of their effectiveness.

73. The characteristics identified above are just some of the aspects that will contribute to an effective schools forum. The following provides more detail on some of the specific issues that local authorities and schools forums may wish to consider in thinking about their own arrangements.

## Induction of new members

74. When new members join the schools forum appropriate induction materials should be provided. These might include material relating to the operation of the schools forum together with background information about the local and national school funding arrangements. Typically they might comprise:

- the constitution of the schools forum
- a list of members including contact details and their terms of office
- any locally agreed terms of reference explaining the relationship between the schools forum and the local authority
- copies of minutes of previous meetings
- the programme of schools forum meetings for the year
- the local schools forum web address

75. This Operational and Good Practice Guide, suitably supplemented by local material, should also be provided to new members on their appointment.

76. Where there is sufficient turnover of schools forum members in any particular year the local authority may wish to organise a one-off induction event to brief new members. Such an event would usefully include an outline of the role of the schools forum and the national funding arrangements for schools and local authorities. It might also include an explanation of the local funding formula and any proposals for review. The opportunity could also be taken to explain the main reporting requirements for school and local authority expenditure.

## Training

77. Ideally schools forum members should be able to use some of the budget set aside for schools forum running costs for accessing relevant training activities. Some training will be provided by officers of the local authority but members may wish to attend national or regional events, the costs of which, where necessary, can be supported from the schools forum budget. Local and national bodies have a key role to play in developing the competencies of forum members.

78. Training will need to be provided in response to any changes in the role of the schools forum and national developments in respect of school funding.

## Agenda setting

79. The process by which the agenda for a meeting or cycle of meetings is set is in many respects one of the key determinants of the effectiveness or otherwise of a schools forum.

80. The frequency and timing of meetings of the schools forum should be agreed in advance of each financial or academic year. In drawing up this cycle of meetings, in

consultation with the schools forum, the local authority should provide a clear overview of the key consultative and decision-making points in the school funding cycle. These will be drawn from a combination of national and local information and should inform the basic agenda items that each meeting needs to cover. For instance meetings will need to be scheduled at appropriate points to enable the schools forum to consider the outcomes of local consultations and national announcements.

81. Although the business of schools forums must be open and transparent, it is recognised that from time to time items of a confidential nature will need to be discussed. It is recommended that authorities apply the same principles that they apply to Council/Cabinet meetings when judging an item to be confidential and adopt similar practices for dealing with those reports in the meeting, e.g. placing them together at the end of the agenda.

### **Preparation for a schools forum meeting**

82. It is vital that the schools forum is transparent, open and has clear communication lines to all of the members that are represented. This ensures the wider school family are aware of the business discussed, the impact on their setting and the reasons for the decisions.

83. The vast majority of a schools forum's business will be transacted on the basis of prepared papers. It is therefore important that these are concise, informative and produced in a timely and consistent manner. Recommendations should be clearly set out at the beginning of each report. It is also helpful if the front of the report confirms whether the report is for information or decision and who is eligible to vote where relevant.

84. It is good practice for the schools forum and local authority to agree a standard for papers. It is usual for papers to be dispatched at least one week prior to the meeting at which they will be discussed to allow members to consider them and if necessary canvass views from the group they are representing. Papers should be published on the local authority's website at this time to enable representations to be made to schools forum members.

85. Consistency in the presentation of papers also contributes to the effectiveness of meetings: it helps set the tone of meetings, facilitate the engagement of all members and signal the importance the local authority attaches to the work of the schools forum. Ideally such a standard should be agreed between the schools forum and local authority. The publishing of papers as a single pdf file is helpful as it saves time and avoids accessing multiple documents both in advance of, and during, the meeting. An Executive Summary of the reports can provide schools forum members and members of the public with an overview of the agenda and the decisions required.

86. The publishing of papers on a publicly available website well in advance of the meeting ensures that all interested parties are able to access papers. Some schools forums ensure that each represented group meets in the days immediately prior to the

schools forum meeting to ensure the agenda is discussed and schools forum members are properly briefed by the group they represent. Although on occasions it is inevitable that schools forums will receive late, or tabled reports it does create some difficulty for members as they will not have been able to seek the views of those they represent.

87. Schools forums can consider adopting a flexible arrangement for time immediately prior to the meeting. For example it could be used for training of new members, or as a drop-in session for members to ask items of clarification, or for members to meet without officers to discuss the agenda.

### **Chairing the schools forum**

88. The Chair of a schools forum plays a key role in setting the tone, pace and overall dynamic of the schools forum. They should provide an environment within which all members are able to contribute fully to discussions and guide the schools forum to making well informed decisions.

89. The relationship between the Chair and the local authority is therefore vital. The Chair should be very clear on the substance of the agenda items, understand the issues involved and the decisions and/or actions that need to be taken in respect of School Forum business. It is good practice for there to be a pre-meeting between the senior officer of the local authority supporting the schools forum and the Chair of the schools forum to ensure that all the issues are clearly understood.

90. Equally, the Chair has the responsibility of representing the views of the schools forum back to the local authority: for instance, they should, where appropriate, take the initiative to make suggestions for improvements to the way the business is conducted, and, in exceptional cases and with support of the members of the schools forum take the view that they do not have sufficient information on which to base a decision and ask that an item is deferred until further information is available. However, in doing so, the Chair and schools forum should be fully aware of the consequences of deferral.

91. The independence of the schools forum is paramount. Enhancing the role of Chair to a paid position, rather than the reimbursement of reasonable expenses, could blur the lines of independence. Similarly, if the Chair undertakes significant work for the LA in another capacity, e.g. as an external consultant, they could be viewed as equivalent to an officer of the local authority.

92. Local authorities could consider if sharing contact details of the schools forum Chair with neighbouring authorities would be helpful for peer support and improving networking opportunities.

### **Clerking the schools forum**

93. Clerking of a schools forum should be seen as more than just writing a note of the meeting. A good clerk provides an invaluable link between the members of the schools

forum, the Chair and the local authority. It is a role often undertaken by an employee of the local authority though we would recommend consideration is given to the use of an independent clerk.

94. Clerks should manage the logistics of the meeting in terms of ensuring dispatch of papers and producing a note from the meeting. In considering the style of meeting notes consideration should be given to making them intelligible enough for non-attendees to get a sense of the discussion as well as clearly indicating the conclusion and action agreed in relation to each agenda item. Verbatim reports of a schools forum's discussion, however, are unlikely to be very useful. Schools forums may consider whether a simple action log should be maintained by the clerk to ensure all action points agreed are followed up.

95. Beyond this a good clerk can:

- provide the route by which schools forum members can access further information and co-ordinate communication to schools forum members outside of the formal meeting cycle;
- respond to any queries about the business of the schools forum from headteachers, governors and others who are not on the schools forum themselves;
- be responsible for ensuring contact details of all members are up to date;
- maintain the list of members on the schools forum and advise on membership issues in general;
- assist with the co-ordination of nomination/election processes run by the constituent groups;
- keep the schools forum website up to date: e.g. by posting latest minutes and papers etc;
- monitor, on a regular basis, the schools forum and general Schools Funding section of the Department for Education (DfE) website or the gov.uk website; and arrange for the distribution of any relevant DfE information to schools forum members;
- if appropriate, provide technical advice in relation to the schools forum regulations and in relation to the operation of a schools forum's local constitution; and
- organise, operate and record any voting activity of the schools forum in line with the provisions of its local constitution.

96. Not all of these tasks may be able to be undertaken by the schools forum clerk. However, each one is important and there should be arrangements in place to ensure they are discharged adequately.

### **Good practice for schools forum meetings**

97. Schools forums should ensure there is a clear debate of all agenda items. Whilst sub-group meetings are valuable in working through detailed issues, schools forums



should consider that the level of debate held at the schools forum meeting and recorded in the minutes will be the official reflection of the level of challenge and discussion on each issue.

98. The use of nameplates for schools forum members also showing which group they are representing can be helpful to members of the public and presenters of papers. In addition the use of coloured cards or coloured nameplates can be helpful when specific members of a schools forum are eligible to vote on specific items, e.g. de-delegation or changes to the funding formula.

99. Consultations with the schools forum are a key responsibility of a local authority, ranging from the funding formula to the letting of contracts. Each consultation will be different and depend on the subject being consulted on, but local authorities should consider the following factors as good practice for effective consultation:

- Plan and consult early
- Allow reasonable timescales for response (as Forum members may need to consult the groups they represent)
- An open and honest approach
- Fully inclusive
- Allow for ongoing dialogue
- Provide feedback
- Clear communications.

### **Meeting notes and recording of decisions**

100. A vital part of the effective operation of a schools forum is to ensure that an accurate record of the meeting is taken. This must include the clear recording of votes where there are contrary views. Recommendations to, and decisions of, schools forums must be clearly set out.

101. Notes or minutes of each schools forum meeting should be produced and put on the website as soon after the meeting as possible to enable members and others to see the outcome of any discussions and decisions/votes. It is good practice to formally agree the accuracy of the note/minutes at a subsequent meeting but the publication of the draft minutes should not be delayed as a result.

102. In order to provide clarity about representation at each meeting, it is good practice for the minutes to record the group and/or subgroup that each member represents against their name.

### **Communication**

103. Communication to the wider educational community of the discussions and debates of, and decisions made by, the schools forum is fundamental to their effective operation. The more schools and other stakeholders know about the proceedings of the

schools forum, the more their work will be an important and central part of the context of local educational funding. This is particularly important given the decision making role that the schools forum has. Local authorities should consider the operational differences between the types of stakeholders and plan their communications accordingly. For example ensuring effective communications across the PVI sector may be more difficult than with schools, who are more likely to have existing channels of communication e.g. headteacher meetings.

104. Each schools forum should therefore be clear what its channels of communication are. It is fundamental that each member of schools forum represents the views of the group or sub-group that they represent and that all those with an interest in funding work together to ensure that their views are taken into account. Therefore communications directly between members and those they represent is essential; professional associations and phase groups could be suitable channels. This will ensure that schools forum members have an ongoing dialogue with the constituents of their group or sub-group and are therefore well able to represent their views at schools forum meetings. However, the schools forum should also consider additional communication processes. These could include:

- drawing schools' attention to the fact that all its agenda, minutes and papers are publicly available on the local authority's website (this should include the publication of formula consultation documents);
- an annual report on the proceedings of the schools forum;
- attendance by the Chair, or other schools forum member, at other relevant consultative or management groups such as any capital working group; or senior management meetings of the Children's Services Department; or
- a brief email to all schools, early years providers and other stakeholders after each schools forum meeting informing them of the discussions and decisions with a link to the full papers and minutes for further information
- a schools forum newsletter can be a less formal and more interesting way of communicating forum business and raising the profile of the schools forum and its members.

### News updates

105. Most, but not all, members of the schools forum will already be in receipt of regular information on school funding matters from the local authority and DfE. Other schools forum members should be copied into such information flows so that they can be kept abreast of developments between meetings.

106. Many local authorities have already established dedicated schools forum websites on which they post key information for schools forum members and other interested parties.



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## Schools forum powers and responsibilities 2015 to 2016

A summary of the powers and responsibilities of schools forums.

Function	Local authority	Schools forum	DfE role
Formula change (including redistributions)	Proposes and decides	Must be consulted [voting restrictions apply - see schools forum structure document] and informs the governing bodies of all consultations	Checks for compliance with regulations
Contracts (where the LA is entering a contract to be funded from the schools budget)	Proposes at least one month prior to invitation to tender, the terms of any proposed contract	Gives a view and informs the governing bodies of all consultations	None
Financial issues relating to: <ul style="list-style-type: none"> <li>arrangements for pupils with special educational needs, in particular the places to be commissioned by the LA and schools and</li> </ul>	Consults annually	Gives a view and informs the governing bodies of all consultations	None

Function	Local authority	Schools forum	DfE role
<p>the arrangements for paying top-up funding;</p> <ul style="list-style-type: none"> <li>• arrangements for use of pupil referral units and the education of children otherwise than at school, in particular the places to be commissioned by the LA and schools and the arrangements for paying top-up funding;</li> <li>• arrangements for early years provision;</li> <li>• administration arrangements for the allocation of central government grants</li> </ul>			
Minimum funding guarantee (MFG)	Proposes any exclusions from MFG for application to DfE	Gives a view	Approval
<p>De-delegation for mainstream schools for:</p> <ul style="list-style-type: none"> <li>• contingencies</li> <li>• administration of free school meals</li> <li>• insurance</li> <li>• licences/subscriptions</li> <li>• staff costs – supply cover</li> <li>• support for minority ethnic</li> <li>• pupils/underachieving groups</li> <li>• behaviour support services</li> <li>• library and museum services</li> </ul>	Proposes	Primary and secondary school member representatives will decide for their phase. Middle schools are treated according to their deemed status	Will adjudicate where schools forum does not agree LA proposal

Function	Local authority	Schools forum	DfE role
Central spend on and the criteria for allocating funding from: <ul style="list-style-type: none"> <li>• growth fund (to meet requirements for basic need including pre-opening and diseconomy of scale costs)</li> <li>• falling rolls fund for surplus places in good or outstanding schools where a population bulge is expected in 2-3 years</li> </ul>	Proposes	Decides	Adjudicates where schools forum does not agree LA proposal
Central spend on: <ul style="list-style-type: none"> <li>• equal pay back-pay</li> <li>• places in independent schools for non-SEN pupils</li> <li>• early years expenditure</li> </ul>	Proposes	Decides	Adjudicates where schools forum does not agree LA proposal
Central spend on: <ul style="list-style-type: none"> <li>• admissions</li> <li>• servicing of schools forum</li> </ul>	Proposes up to the value committed in 2014-15	Decides for each line	Adjudicates where schools forum does not agree LA proposal
Central spend on: <ul style="list-style-type: none"> <li>• capital expenditure funded from revenue</li> <li>• contribution to combined budgets</li> <li>• schools budget centrally funded termination of employment costs</li> </ul>	Proposes up to the value committed in 2014-15 and where expenditure has already been committed.	Decides for each line	Adjudicates where schools forum does not agree LA proposal

Function	Local authority	Schools forum	DfE role
<ul style="list-style-type: none"> <li>schools budget funded prudential borrowing costs</li> <li>special education needs transport costs</li> </ul>			
Central spend on: <ul style="list-style-type: none"> <li>licences negotiated centrally by the Secretary of State</li> <li>children and young people with high needs</li> </ul>	Decides	None, but good practice to inform forum	None
Carry forward a deficit on central expenditure to the next year to be funded from the schools budget	Proposes	Decides	Adjudicates where schools forum does not agree LA proposal
Scheme of financial management changes	Proposes and consults the governing body and Head of every school	Approves (schools members only)	Adjudicates where schools forum does not agree LA proposal
Membership: length of office of members	Decides	None (but good practice would suggest that they gave a view)	None
Voting procedures	None	Determine voting procedures	None
Chair of schools forum	Facilitates	Elects ( <i>may not be an elected member of the Council or officer</i> )	None



## Schools forums structure

A summary of the structure of schools forums.

Category	Schools members	Academies members	Non-school members
Represented groups	<p>Where the LA maintains the following types of school, they must be represented on the schools forum:</p> <ul style="list-style-type: none"> <li>• Primary Schools</li> <li>• Secondary Schools</li> <li>• Special Schools</li> <li>• Nursery Schools</li> <li>• PRUs</li> </ul>	<p>At least one academies member must be a representative of mainstream academies, which includes free schools, UTCs and Studio Schools. In addition, there must be one member for each of the following groups (if such exist in the LA area):</p> <ul style="list-style-type: none"> <li>• Special academies, including free schools</li> <li>• Alternative provision academies, including free schools</li> </ul>	<p>16-19 providers</p> <p>Early years Private, Voluntary and Independent (PVI) providers</p> <p>Before considering other groups, the LA must consider diocesan representation</p>



Category	Schools members	Academies members	Non-school members
Type of member	<p>Within each of the five groups above there could be the following types of member:</p> <ul style="list-style-type: none"> <li>• Headteachers (or their representative)</li> <li>• Governors</li> <li>• Headteachers and Governors</li> <li>• In overall terms there must be at least one headteacher (or their representative) and one governor</li> </ul>	Any	Any
Schools forum structure	<p>Schools members and academies members must comprise at least 2/3rds of the schools forum membership</p> <p>Primary schools, secondary schools and academies must be broadly proportionately represented on schools forum, based on the total number of pupils registered at them</p>	<p>Schools members and academies members must comprise at least 2/3rds of the schools forum membership</p> <p>Primary schools, secondary schools and academies must be broadly proportionately represented on schools forum, based on the total number of pupils registered at them</p>	
Voting	Only primary representatives can	No voting on de-delegation or the	No voting on de-delegation or the

Category	Schools members	Academies members	Non-school members
	<p>vote on primary school de-delegation</p> <p>Only secondary representatives can vote on secondary school de-delegation</p> <p>All schools members can vote on the scheme for financing schools</p> <p>All schools members can vote on any other schools forum business, including the consultation on the funding formula</p>	<p>scheme for financing schools</p> <p>All academies members can vote on any other schools forum business, including the consultation on the funding formula</p>	<p>scheme for financing schools</p> <p>Only PVI representatives can vote on the consultation on the funding formula.</p> <p>All non-school members can vote on any other schools forum business</p>
Elected by	<p>The relevant sub-group of the relevant type of school e.g. primary school governor representatives are elected by the governors of primary schools, secondary school headteachers are elected by the headteachers of secondary schools.</p>	<p>The relevant proprietors of academies elect for their group, e.g. mainstream academies, special academies and alternative provision academies</p>	<p>Election only applies to the representative for the 16-19 providers, who is elected by all eligible 16-19 providers</p>
LA appointment of members	<p>Only if no election takes place by the agreed date or in the event of a tie</p>	<p>Only if no election takes place by the agreed date or in the event of a tie</p>	<p>Can appoint a 16-19 representative only if no election takes place by the agreed date or in the event of a tie</p> <p>For all other non-schools members</p>

Category	Schools members	Academies members	Non-school members
			the LA appoints, but it is good practice to seek nominations from the relevant bodies

**Other attendees who are permitted to contribute to a schools forum meeting:**

- An observer appointed by the Secretary of State
- The Chief Financial Officer
- The Director of Children’s Services
- Officers providing financial & technical advice to schools forum
- The Executive Member for Children’s Services
- Presenters (restricted to the paper they are presenting)
- The Executive Member with responsibility for resources

**REPORT TO:** School Forum

**DATE:** 12<sup>th</sup> October 2015

**REPORTING OFFICER:** Headteacher of Halton Virtual School

**SUBJECT:** Planned Expenditure of Pupil Premium Plus for Children in Care 2015-16

## **1.0 PURPOSE OF REPORT**

**1.1** To provide an update to Schools Forum on the planned expenditure of the Pupil Premium Plus grant for Children in Care 2015-16.

## **2.0 RECOMMENDED: That**

**2.1 School Forum accept the report as an accurate representation of the planned expenditure for the PP+ grant for 2015-16.**

## **3.0 BACKGROUND**

**3.1** The Pupil Premium Plus (PP+) for Children in Care (CIC) is governed by the conditions of grant published by the Department of Education (DfE). Page 9 of the conditions of grant clearly states that:

‘The grant allocation for Looked After Children must be managed by the designated Virtual School Head in the authority that looks after those children to be used for the benefit of the looked after child’s educational needs as described in their Personal Education Plan (PEP).’

**3.2** The DfE also produced further statutory guidance (March 2014) that described the ‘Role of the Virtual School Head in managing the PP+ for Children in Care’. A summary of the key points that govern how the grant can be used are as follows:

- The PP+ grant allocation does not have to be distributed on a per capita basis, as there is recognition that children and young people in care have differing levels of need at different stages of their journey through the education and care systems.
- There is no requirement for the Virtual School Head to pass the funding onto the school where the child is on roll to contribute to meeting the needs identified in their PEP.

- There is no requirement to pass on the PP+ to non-mainstream schools.
- Schools cannot insist that they get the full PP+ grant for each child on their roll as it is up to the Virtual School Head to manage the PP+ grant allocation.
- It is for the Virtual School Head to decide the amount of PP+ and the frequency of payments. This means that there is no set amount that each child is eligible to receive and that the Virtual School Head can link payments of the completion of the PEP.
- The Virtual School Head can pool some of the budget allocation and keep this centrally for activities that are of holistic benefit to the LA's looked after children.

3.3 Halton has adopted a 'child's individual needs driven model' of allocation that is linked to the completion of effective, termly and high quality PEPs. Ofsted deemed this model good practice during Halton's inspection (Nov – Dec 2014).

#### **4.0 FINANCIAL ALLOCATION OF PP+ FOR CIC 2015-16**

4.1 As per the conditions of grant the allocation of PP+ for CIC is based on the Local Authority Children Looked After Data Return SSSDA903. This means that Halton received an indicative grant allocation of £323,000. The final grant allocation will be published in December 2015 once census adjustments have been made.

#### **5.0 PLANNED EXPENDITURE OF PP+ FOR CIC 2015-16**

5.1 The Headteacher of the Virtual School and the finance team, will undertake regular reviews of the expenditure as the financial year progresses to ensure that all funding is allocated and there is neither an over or underspend.

5.2 As in the previous year, Halton will be focusing the majority of its PP+ expenditure on school requests for PP+ through the completion of the termly PEPs. The criteria for PP+ requests has been published for schools and is also on the Halton Virtual School website – there are no differences to the criteria used in the previous academic year..

5.3 In line with the previous year, there will be an additional one off payment granted to those children and young people who are in key assessment years and those who will be going through a planned transition. These payments will be made at the beginning of the Spring Term to ensure that personalised support is put in place as per the PP+ guidance and criteria.

- 5.4 Following on from the previous year, adjusted delegated budget payments will also be made to recompense schools who did not receive their full-delegated CIC allocation through their formal budget as this funding is based on the previous year's October census. This payment has been made at the beginning of the Autumn term.
- 5.5 In addition to this, a further budget adjustment will be made for those schools who accept additional children in care on roll and who have not received the correct budget payments. This payment will be made at the beginning of the Spring Term.
- 5.6 The Headteacher of the Virtual School has centrally retained some of the PP+ allocation as per the conditions of grant. Some of this central allocation will be used to provide a comprehensive training programme for Designated Teachers and pastoral staff who work closely with children in care in schools. The training events are published to all Designated Teachers and also on the Halton Virtual School website.
- 5.7 Finally, some of the centrally retained grant will also be used as pump-prime funding for an Attachment Focused Schools Award that will be supported by Halton Virtual School. This award is to assist schools in developing their own attachment support strategies, so putting into practice the training they have received through the Designated Teacher training programme. There will be an expectation that schools will provide some of their own funding to support this work as well as being able to apply for a PP+ allocation. The award will be scrutinised and monitored by a multi-agency team to ensure that the attachment strategies are being implemented and the PP+ allocation is being used in accordance with the school's action plan. This award will also support schools in providing contributing evidence for the new judgements in the school inspection framework.

Sharon Williams  
Headteacher Halton Virtual School  
September 2015

**REPORT TO:** School Forum  
**DATE:** 12<sup>th</sup> October 2014  
**REPORTING OFFICER:** Mark Conway – Child Place Planning Lead  
**SUBJECT:** Early Years Pupil Premium (EYPP)

## **1.0 PURPOSE OF THE REPORT**

1.1 To inform School Forum of the new Early Years Pupil Premium Funding (EYPP).

## **2.0 RECOMMENDATION:**

- (i) School Forum note the funding available for Early Years Pupil Premium Funding and the eligibility criteria.

## **3.0 SUPPORTING INFORMATION**

### **3.1 Background to the EYPP**

Eligible statutory school age children have received Pupil Premium for many years. From April 2015, the Government introduced a new Early Years Pupil Premium (EYPP) for 3 and 4 year olds.

Local Authorities receive the EYPP funding as part of the Dedicated School Grant (DSG) allocations.

### **3.2 What is the Early Years Pupil Premium?**

The EYPP, totaling £50 million nationally, is designed to narrow the attainment gap between young children from low-income families and their peers, setting them on a path to a more successful future.

Day Nurseries, pre-schools, childminders, primary academies and nursery schools/nursery classes will receive an extra £300 per annum, for each eligible 3 and 4 year old claiming the Free Early Years Entitlement (FEYE), to help prevent them falling behind before they start school.

### **3.3 What is the Hourly Rate?**

The EYPP is set at a national hourly rate of 53p, for 15 hours per week over no less than 38 weeks per year.

Local Authorities pass the full rate for each eligible child directly to the provider (not the parent).

### 3.4 Advertising the new EYPP

All PVI and maintained childcare providers received an information pack in the spring term, which contained background information, leaflets and posters advertising the new funding.

Providers were also issued with a letter to distribute to parents of the children attending their setting, asking them to volunteer their National Insurance Numbers, Dates of Birth and surnames and asking for their permission to use their details for the purpose of checking whether their child was eligible for EYPP.

### 3.5 Who is eligible for the EYPP?

Any 3 and 4 year olds receiving Free Early Years Education (FEYE) if their parents meet at least 1 of the following criteria:

- Free School Meals criteria
- [Income Support](#)
- Income-based [Jobseeker's Allowance](#)
- Income-related [Employment and Support Allowance](#)
- support under [part VI of the Immigration and Asylum Act 1999](#)
- the guaranteed element of [State Pension Credit](#)
- [Child Tax Credit](#) (provided they're not also entitled to [Working Tax Credit](#) and have an annual gross income of no more than £16,190)
- [Working Tax Credit](#) run-on, which is paid for 4 weeks after they stop qualifying for Working Tax Credit
- [Universal Credit](#)

or

- they have been looked after for 1 day or more (LAC)
- they have been adopted from care
- they have left care under a special guardianship order or residence order

Children must be eligible for Free Early Years Education in order to attract EYPP funding. Children become eligible at different points in the year depending on when they turn 3 or 4.

The EYPP in respect of looked after children is managed directly by the Virtual School Head (VSH).



### **3.6 What is the funding to be used for?**

The EYPP was introduced to raise the quality of the child's education.

To ensure the funding is being utilised effectively, during an Ofsted inspection, the inspector will be looking at how settings are using the EYPP funding to help disadvantaged pupils and narrow the gap between the performance of different groups of pupils.

When evaluating the achievement of pupils, inspectors will consider how well:

- Pupils make progress relative to their starting points
- Pupils are prepared for the next stage of their education
- Gaps are narrowing between the performance of different groups of pupils
- Pupils who are eligible for the EYPP have achieved since joining the setting

### **3.7 How much funding have the LA received?**

HBC have been allocated £191,409 for 634 children for this financial year. For the Summer Term we have paid the PVI and maintained childcare settings a total of £35,191.

The DfE will be conducting a mandatory mid-year survey in the Autumn term to check take-up of the EYPP and will make adjustments in light of that.

The EYPP will also be recorded on the Early Years Census, which takes place each January.

### **3.8 How many children were eligible during the Summer Term?**

From both the PVI and maintained childcare settings, 1098 parents volunteered their personal details (National Insurance Number, date of birth and their surname). The majority of these were emailed to the Child Place Planning Team via the HBC secure email system. A minority of settings who were unable to email via the secure email system sent details through the post, marked Private and Confidential.

All 1098 parents details were input into the DfE Eligibility Checking system and 368 parents were eligible.

### **3.9 How often do we have to check eligibility?**

The DfE have suggested we check eligibility at the beginning of the term when a 3 year old becomes eligible for the Free Early Years Entitlement and then again the term after they turn four.

The process will need to be carried out each term for any new 3 or 4 year olds starting at a setting.

The EYPP funding follows the child (the same as the FEYE) if the child moves to a new setting during a term.

#### **4.0 POLICY IMPLICATIONS**

4.1 Children and Young People in Halton

#### **5.0 FINANCIAL/RESOURCE IMPLICATIONS**

5.1 HBC have been allocated £191,409 for 634 children for this financial year.

#### **6.0 RISK ANALYSIS**

6.1 There are currently no perceived risks.

#### **7.0 EQUALITY & DIVERSITY ISSUES**

7.1 This is in line with all equality and diversity issues in Halton.

**REPORT TO:** School Forum

**DATE:** 12<sup>th</sup> October 2015

**REPORTING OFFICER:** Operational Director – Education, Inclusion and Provision

**SUBJECT:** Review of Funding for Special Schools

### **1.0 PURPOSE OF REPORT**

- 1.1** To advise School Forum on the level of funding currently supporting special schools and to propose a review of top up levels to ensure that the funding is in line with the budget available.

### **2.0 RECOMMENDED: That**

- 2.1 School Forum acknowledge the current funding system is unsustainable; and**
- 2.2 Support the review of special schools top up funding so that future funding is in line with the resources available.**

### **3.0 BACKGROUND**

- 3.1** In April 2013 the funding for special schools was changed so that each school received a base sum of £10,000 for each of the estimated number of places and a top up rate for each pupil based on the real time movement of pupils. Two top of bands were agreed, with the intention that the higher rate would only be used in exceptional cases where a pupil required one to one support.
- 3.2** The national reforms were expected to be cost neutral, however, since the introduction of the new funding formula costs of provision have risen by £1.4 million, from £5.2 million in 2013/2014 to an estimated £6.6 million in 2015/2016. Although there has been additional sixth form provision at Ashley School this only accounts for approximately £268k.
- 3.3** There are a number of issues with the current banding system in Halton. These include the fact that the difference between Level 1 and Level 2 in the current banding system is too great and too many children and young people are currently funding at the higher funding band. Detailed below are the top up levels for Special Schools for 2015/2016 as presented to the March School Forum.

Summary of Special School Top-up Funding 2			
Ashley	CI	Level 1	£ 7,982.11
	CI	Level 2	£ 28,618.79
	LC	Level 1	£ 3,563.43
	LC	Level 2	£ 24,200.12
	BESD	Level 1	£ 5,722.88
	BESD	Level 2	£ 26,359.57
	SPN	Level 1	£ 6,702.83
	SPN	Level 2	£ 27,339.51
	Chesnut Lodge	CI	Level 1
CI		Level 2	£ 28,227.33
LC		Level 1	£ 2,403.69
LC		Level 2	£ 24,025.37
BESD		Level 1	£ 5,442.22
BESD		Level 2	£ 26,078.91
SPN		Level 1	£ 6,374.11
SPN		Level 2	£ 27,010.80
Brookfields		CI	Level 1
	CI	Level 2	£ 26,392.26
	LC	Level 1	£ 2,569.45
	LC	Level 2	£ 23,206.14
	BESD	Level 1	£ 4,126.54
	BESD	Level 2	£ 24,763.23
	SPN	Level 1	£ 4,833.14
	SPN	Level 2	£ 25,469.82
	Cavendish	CI	Level 1
CI		Level 2	£ 29,287.58
LC		Level 1	£ 3,862.01
LC		Level 2	£ 24,498.69
BESD		Level 1	£ 6,202.38
BESD		Level 2	£ 26,839.06
SPN		Level 1	£ 7,264.42
SPN		Level 2	£ 27,901.11

- 3.4 As this increased level of funding is no longer sustainable the Local Authority now views it as essential that the level of top up funding for children with SEN in special schools should be reviewed. In reviewing the funding levels a key principle is that any banding should be directly related

to the level of need of the child i.e. the more complex needs would have a higher amount of top-up and less complex would attract a lower amount of top up funding.

- 3.5 The review will involve all four special schools, Local Authority Finance Officers and Officers from the Inclusion Department of the Local Authority. In conducting the review the following principles will be applied:
- There will be transparency for schools , LA Officers, parents and carers about the level of top up rate allocated to meet a child's needs;
  - There will be a clear criteria for determining what the top up level should be related to the needs of the child;
  - There should be equality and fairness in the system between schools;
  - Although clear criteria will be established there will also be the opportunity for some flexibility;
  - Taking into consideration the funding available for special schools, there is ownership of the system which results in a co-operative approach to the allocation of top up and not one which results in attempts to place every or more children in the highest possible band.
- 3.6 Any top up model will need to allow for a range of high cost factors such as hydrotherapy pools or the higher costs of small schools. It is also acknowledged that as changes are aimed at reducing the level of funding provided to special schools and ensuring it is more in line with the funding available that it is unlikely that this can be achieved within the Minimum Funding Guarantee for Special Schools. There is no intention to destabilise the special school funding however the current system is not affordable and to achieve the required level of savings and move to the new banding system the MFG may need to be set aside. Approval by the majority of special schools would be needed to do this as well as approval from the Education Funding Agency.

**REPORT TO:** School Forum

**DATE:** 12 October 2015

**REPORTING OFFICER:** Finance Officer, Financial Management Division

**SUBJECT:** Excess Surplus School Balances 2014-15

### 1.0 Purpose of the Report

1.1 To report to the School Forum the intended use of the Excess Surplus School balances from 2014-15

### 2.0 Recommendation

RECOMMENDED: That the intended excess surplus school balance usage is noted and that a decision is made as to whether the information received is adequate and whether School Forum require any further information.

### 3.0 Background

The decision was made by School Forum in January 2013 that the previous excess surplus school balance limits of 5% for Secondary schools and 8% for Primary schools was removed.

At the June 2015 School Forum it was asked that schools with an amount over the previous 5% and 8% provide details for the balance and submit the information to the October School Forum.

3.1 It must be noted that the carry forward for both Lunts Heath Primary and Fairfield Primary had been overstated due to an error on behalf of the Financial Management team and was recorded incorrectly at the June 2015 School Forum meeting. This has now been amended and the correct carry forward figures are as follows:

Lunts Heath Primary carry forward actual £59,028  
Lunts Heath Primary carry forward originally recorded £137,803  
Lunts Heath Primary carry forward overstated by £78,775

Fairfield Primary carry forward actual £397,832  
Fairfield Primary carry forward originally recorded £521,506  
Fairfield Primary carry forward overstated by £123,674

3.2 32 schools had a balance that was over the previous 5% or 8% limits and they were contacted and asked to complete a pro forma. Out of the 32 schools all of them have now responded and the pro-forma that they completed has been circulated.

The responses were that schools are spending their excess balances on either additional staffing costs, or various improvements to the school playground / classrooms / buildings etc.

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# FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Astmoor Primary
<b>Total Balance 2014-15</b>	£94,475
<b>Permitted Balance</b>	£76,623
<b>Excess Balance</b>	£17,852
<b>Details of use of school balance</b>	<p>We have an excess balance for 14/15 due to money being devolved to us from Sharon Williams for Children in Care. We were only aware of this money in March 2015 and at that time did not have an exact figure (CIC pupil premium) The amount we received did not arrive in our bank account until July 2015 and details of the exact amount granted were unknown until we received the breakdown from yourselves with the schools carryforward details.</p> <p>Amount of children in care granted £19800</p> <p>This funding which is now in our bank account will be used to further fund CIC activities and programmes.</p>

Signed:

Name and Designation:

Date:

Louisa Aldridge - Headteacher

15/09/2015



## FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Beechwood Primary
<b>Total Balance 2014-15</b>	£87,581
<b>Permitted Balance</b>	£53,343
<b>Excess Balance</b>	£34,238
<b>Details of use of school balance</b>	<p>As a new HT I asked our HBC finance officer if there was a limit to our carry forward and was informed that there wasn't a limit</p> <p>£54,092 is to balance this years budget, additional costs included in this years budget for the carryforward &amp; the reason for the surplus are:</p> <p>£15,000 - contribution towards building works at the front of the school to increase safety of the children</p> <p>£10,000 - refurbishment of front entrance + new furniture for the newly extended offices &amp; entrance porch</p> <p>£27,131 - appointed an additional teacher to cover PPA rather than HLTAs 7/12 from this budget 5/12 from next</p> <p>£6,715 increase in Teaching Assistant hours to meet the needs of the children</p> <p>£3,000 - mud kitchen for the EYFS children</p> <p>£3,000 - to cover whole class music tuition for the children</p> <p>£4,000 - increase in training budget for staff so that training can meet SDP priorities</p> <p>£19,428 - Double Glaze the hall</p> <p>£5,000 - Air conditioning unit for the classroom that has no outside windows or doors</p> <p>Plus other small increases in other areas - these can be detailed if required - these are just the large ones</p>

Signed:

Stephanie N.J. Kidd

Name and Designation:

Headteacher

Date:

17/09/2015

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Birchfield Nursery
<b>Total Balance 2014-15</b>	£38,960
<b>Permitted Balance</b>	£31,127
<b>Excess Balance</b>	£7,833
<b>Details of use of school balance</b>	NQT employed from January 2015 so the nursery had an additional teacher in line with other nursery schools. This has pushed up staffing costs for 2015/16.

Signed:

Name and Designation:

Date:

Lindsey Weedall

Head Teacher

9.9.2015

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Brookfields Special School
<b>Total Balance 2014-15</b>	£312,555
<b>Permitted Balance</b>	£143,001
<b>Excess Balance</b>	£169,554
<b>Details of use of school balance</b>	<u>School swimming pool refurbishment costs to date</u> Cunningham Brown £117,368 Arcus Consultancy £3,256 Datum Construction £5,853 <u>School swimming pool costs outstanding</u> Cunningham Brown £30,098 <u>School Hall storage room</u> Cunningham Brown £5,756 <u>Class 3 Sensory room</u> Experia £3,585 <u>New classroom ICT equipment</u> Halton Borough Council £4,758

Signed:

Name and Designation:

Date:

Sara Ainsworth - Headteacher  
 9th September 2015

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Brookvale Primary	
<b>Total Balance 2014-15</b>	£301,285	
<b>Permitted Balance</b>	£127,792	
<b>Excess Balance</b>	£173,493	
<b>Details of use of school balance</b>		<b>Actual    Projected</b>
	Installation of exterior canopies incl planning permission	£32,930.00
	Staff Room Refurbishment & meeting room	£3,534.40    £510.00
	Toilets Refurbishment in KS2	£34,012.03    £300.00
	Heating in Nursery replaced	£2,732.12
	Staff / Disabled toilet refurbishment	£1,360.50
	Whiteboards in KS1 (x4)	£500.00    £14,496.00
	School/Kitchen Office Refurbishment incl new printer	£7,690.53    £296.00
	Carpark resurfaced	£15,000.00
	Computer suite upgrade	£17,972.50    £4,500.00
	Revamp of school library	£10,000.00
	KS1 Classroom furniture and decoration	£3,000.00
	Early Years Classroom Furniture	£2,366.67    £3,000.00
	Nursery Outside Classroom/Play area	£17,804.25
	Hall Curtains	£2,993.33
	Flooring for refurbishments	£3,163.53
	Additional Teaching Assistant for KS1	£14,864.00
		£94,129.86    £98,896.00
	<b>Total</b>	<b>£193,025.86</b>

Signed:

Name and Designation:

Date:

Paula Casey, Headteacher
18/09/2015

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Castle View Primary
<b>Total Balance 2014-15</b>	£123,717
<b>Permitted Balance</b>	£75,972
<b>Excess Balance</b>	£47,745
<b>Details of use of school balance</b>	<p>£20000 Classroom Configuration - Asset management Plan item          £4750 Contribution to Access Initiative Grant          £1500 Removal of Trees - Asset management Plan Item          £3500 Playground Trail - School development Plan Item          £5000 Reinstatement of Playground - School development Plan item          £25000 Renewal of infants Playground - School Development Plan item          £5000 Replacement External Doors - Asset management Plan item          £30000 Replacement and update of ICT - School Development Plan item</p>

Signed:

I D Worthington

Name and Designation:

Headteacher

Date:

18/09/2015

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Chesnut Lodge Special School
<b>Total Balance 2014-15</b>	£268,597
<b>Permitted Balance</b>	£140,407
<b>Excess Balance</b>	£128,190
<b>Details of use of school balance</b>	<p>£80k Allocated as worse case scenario for repair/replacement of hall Floor                  £45k Refurbishment of 2 Hygiene Rooms                  £5k Library set up in school Mobile</p> <p>Please note Repair of hall floor was less than initially expected so funds will be used for various projects to include                  Circa £13k New roof for Mobile Classrooms                  Circa £30k Toilet Refurbishments                  Circa £5k Upgrade to heating in pool and changing areas                  Further surplus will be used for rolling projects such as IT Equipment , Ceiling Hoists &amp; replacing fire doors as required throughout school</p>

Signed:

Sarah Ferrand-Dyer

Name and Designation:

Office Manager

Date:

14/09/2015

## FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Fairfield Primary
<b>Total Balance 2014-15</b>	£397,832
<b>Permitted Balance</b>	£217,347
<b>Excess Balance</b>	£180,485
<b>Details of use of school balance</b>	<p>The following information is stating the planned expenditure for our School. We are in the unique position that we are newly amalgamated and are waiting for a programme of building work to take place, which will not be completed until 2017. We do not know how much money we will need to carry forward to add to the programme and so have put on hold all our plans for building refurbishment until we know the necessary information. As can be seen, the building requirements will take up almost all of our carry forward. I also wish to make it clear that the last reported carry forward to the School Forum was wrong. I would like it minuted that this was an error by the Local Authority finance department.</p> <p><b>Focus Improvement Plan 2013-2014</b></p> <p>Install Suspended ceilings to corridor areas incorporating new integrated lighting. <span style="float: right;">£11071</span></p> <p>Refurbish floor space to corridor areas. <span style="float: right;">£8687</span></p> <p>Change of use of current library space to accommodate EYFS children for intervention, pastoral care, nurture room. <span style="float: right;">£6522</span></p> <p>Install replacement lighting in classroom areas. <span style="float: right;">£5205</span></p> <p>Development of playground area within the Early Years Foundation Stage following on from the refurbishment of the main playground space.</p> <p><b>Environmental Audit - 2014-2015</b></p> <p>Pot hole repairs <span style="float: right;">£825</span></p> <p>Thermoplastic Markings <span style="float: right;">£1320</span></p> <p>Coloured corner guards <span style="float: right;">£200</span></p> <p><b>Educational Enhancements</b></p> <p>Portable Classroom delivery/collection £10,050          12 months hire at £1018.34 £12,220.08          Electrical Works £3465          Access Payment £300          Access Works to field £175          ICT Equipment £3,329          Teacher £37,900</p> <p><b>Total</b> <span style="float: right;">£67439.08</span></p> <p>Contribution to Premises Remodelling <span style="float: right;">£12,500</span></p> <p><b>Premises Requirements</b></p> <p>Lead Piping replacement <span style="float: right;">£20,000</span></p> <p>Tarmac playground upper school</p> <p>Desks to lower school for teaching staff <span style="float: right;">£49,815</span></p> <p>Awaiting further quotations</p> <p><b>Budget Adjustment January to March 2015</b></p> <p>Budget Adjustment January to March 2015 <span style="float: right;">£29,560</span></p> <p><b>ICT</b></p> <p>Purchase of ICT Netbooks, order cancelled at year end due to delivery <span style="float: right;">£49,815</span></p> <p>Further budget carry forward has been recognised as required for any potential loss of funding for lump sum following amalgamation of our two Schools. <span style="float: right;">£77,742</span></p> <p>£129,570.00 less award £51,828.00</p> <p>Additional building projects to be funded from Fairfield Primary School following the re-modelling works following the amalgamation <span style="float: right;">£50,000</span></p> <p>Estimated Cost for tarmac of upper school playground <span style="float: right;">£18,550</span></p> <p>Estimated Cost for refurbishment of Priority 5 - EYFS <span style="float: right;">£20,000</span></p> <p><b>Total</b> <span style="float: right;">£384,344.08</span></p>

Signed:  
 Name and Designation:  
 Date:


**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Gorsewood Primary
<b>Total Balance 2014-15</b>	£192,091
<b>Permitted Balance</b>	£92,936
<b>Excess Balance</b>	£99,155
<b>Details of use of school balance</b>	<p>Resources to support the delivery of the new national curriculum £4,000  Trim trail, connecting pathways so fully accessible, school garden £15,000  Gardening/Behaviour Therapist £16,000  Development of school library (storage, shelving, furnishing) £3,600  Additional library books £5,000  Online library system including PC £1,800  Redesigning the school entrance area (enlarging office, more welcoming) £15,000  Services of Play/Art Therapist £16,000  Quiet Place Training/Resources/Equipment/Software/PC £12,000  2 x Canopies £15,000</p>

Signed:

Janette Gregg

Name and Designation:

Headteacher

Date:

16.09.2015



**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Hale Primary
<b>Total Balance 2014-15</b>	£75,956
<b>Permitted Balance</b>	£56,691
<b>Excess Balance</b>	£19,265
<b>Details of use of school balance</b>	
Planned modernisation contribution	£6,000
Contribution to new classroom	£11,000
Funding for new teacher until funding for increased pupil numbers comes into budget	£15,000

Signed:

Marianne Mowatt

Name and Designation:

Headteacher

Date:

17/09/2015

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Halebank Primary
<b>Total Balance 2014-15</b>	£90,346
<b>Permitted Balance</b>	£48,385
<b>Excess Balance</b>	£41,961
<b>Details of use of school balance</b>	
<b>Improvements to school standards</b>	
Employment of mainscale teacher from Feb 2016 onwards so that Maths can be taught in separate year groups instead of in mixed aged classes	£5,000
<b>Improvements associated with new school building and grounds</b>	
fittings and furniture for new school	£25,000
new playground markings, EYFS outdoor provision	£12,000

Signed:

*G E Threadgold*

Name and Designation:

Gill Threadgold Head Teacher

Date:

08-Sep-15

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Hallwood Park Primary
<b>Total Balance 2014-15</b>	£84,785
<b>Permitted Balance</b>	£69,949
<b>Excess Balance</b>	£14,836
<b>Details of use of school balance</b>	<p>The School had a balance of £84,785 from 2014/15. However £38,687 from this balance was used to set the 2015/16 budget. During 2014/15 the School was not operating with a full staff compliment leading to an underspend, with the Deputy acting as Head Teacher. For the Autumn Term 2015 an interim Executive Head has been in place at a cost of circa £26,562 and from January 2016 a newly appointed Head Teacher will be in post and a review of the Senior Leadership Team is currently being undertaken, resulting in a full staff compliment at the school. In addition the school has a rolling programme of capital work ongoing during 2015/16 which will see the school's balance for 2015/16 fall well within permitted limits."</p>

Signed:



Name and Designation:

S. Taylor Executive Head Teacher

Date:

29-Sep-15

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Halton Lodge Primary	
<b>Total Balance 2014-15</b>	£117,965	
<b>Permitted Balance</b>	£95,639	
<b>Excess Balance</b>	£22,326	
<b>Details of use of school balance</b> <b>All the below items are evidenced School Development Plan items</b>		
Development of Cooking Area (School Food Plan)		£17,000
Development of EYFS Outdoor Area Playpod		£15,000
		£8,500
Develop New Assessment System in line with ne		£2,500
Raise the Profile of the Arts especially Music		£20,158

Signed:

A. Hilldrup

Name and Designation:

Anthony Hilldrup (Headteacher)

Date:

18th September 2015

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Hillview Primary
<b>Total Balance 2014-15</b>	£144,829
<b>Permitted Balance</b>	£72,314
<b>Excess Balance</b>	£72,515
<b>Details of use of school balance</b>	At the budget setting meeting held in March 2014 the schools was projected to have a shortfall of around £62,791. This was due to the schools intention of maintaining staffing levels. It was estimated in March 2015 that the school required a carry forward of £97,588 from 2014-15 in order to balance. However, in July 2015 the Governing Body appointed the role of Headteacher and the uncertainty over ongoing staff costs was removed.

Signed:

Name and Designation:

Date:


**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Oakfield Primary
<b>Total Balance 2014-15</b>	£193,246
<b>Permitted Balance</b>	£153,769
<b>Excess Balance</b>	£39,477
<b>Details of use of school balance</b>	<p>We plan to install a lift in the KS2 building to provide disability access to the upper floor. Currently, we have to move the classes around to accommodate disabled children who are not able to access the music room (upstairs) either.</p> <p>We also plan to extend the building to provide several intervention/ meeting rooms which are required due to the high number of SEN pupils and vulnerable families and hence the number of meeting rooms required for CAF/CIN/Safeguarding meetings.</p> <p>Feasibility studies are currently under way for both, with a view to beginning work on both as soon as possible, providing the current surplus, plus funding from next years budget will allow.</p> <p>There has also been talk of funding being reduced next year, in which case, in order to maintain our current and very necessary level of staffing (including TA support) this would possibly require dipping into the surplus. Oakfield is in one of the highest areas of deprivation where children are very low on intake. Being careful with funding is required in order to be able to facilitate any future shortfall and in order to maintain standards.</p>

Signed:

Name and Designation:

Date:


**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Our Lady Mother of the Saviour Primary
<b>Total Balance 2014-15</b>	£214,864
<b>Permitted Balance</b>	£82,847
<b>Excess Balance</b>	£132,017
<b>Details of use of school balance</b>	<p>1. Enhance outdoor provision for EYFS and Year 1- OLMS has a long term plan in place to create an outstanding area of outdoor provision for early Year , phase one will begin shortly and £30000 - £40000 has been allocated from the underspend for phase one. Phase two will commence during the second half of the financial year. The anticipated allocation of funds for phase two is £30000, a decision will be taken by the governing body following the mid year financial review as to exactly how much will be allocated for phase two.</p> <p>2. Further improvements to the Keystage 2 outdoor environment - £10000</p> <p>3. Updating ICT equipment and development of a media room £20000</p> <p>4. Installation of 2 new boilers - £14000</p> <p>5. Contributions to Phase three window replacement project - £80000</p>

Signed:

Name and Designation:

Date:


**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Runcorn All Saints Primary
<b>Total Balance 2014-15</b>	£130,565
<b>Permitted Balance</b>	£55,708
<b>Excess Balance</b>	£74,857
<b>Details of use of school balance</b>	<p>The Governing Body of Runcorn All Saints CE Primary School set aside this funding for building projects - two of which took place in the Summer 2015 holiday</p> <p>Funds supplemented a capital grant to refurbish the girls toilet. Further funds supplemented a capital grant for the addition of an outdoor covered area to the reception class , this additional funding enabled safer fencing and a garden area to be created for the Foundation stage.</p> <p>Additional funding from the excess balance has been put aside for building work due to take place in Summer 2016 - this work will provide current areas of the building previously used as part of the children's centre to be better used by the school. The reconfiguration will provide a breakfast club room/kitchen facilities and a learning support room.</p> <p>The surplus balance has also enabled the school to employ an additional teacher for the Year 2015-16. This has meant that a mixed Y5/6 class can now be taught in age specific year groups. The school has also used the funds to employ a foreign exchange student for the period Oct 15 - April 16 to support the school in the teaching of Spanish - MFL. These measures will assist in the raising of standards and the provision of a broad and balanced curriculum in a school which has both the staff and environment to provide a quality education.</p>

Signed:

*E Harrison*

Name and Designation:

Elaine Harrison Headteacher

Date:

1/9/15



**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Saints Peter & Paul College
<b>Total Balance 2014-15</b>	£799,293
<b>Permitted Balance</b>	£462,768
<b>Excess Balance</b>	£336,525
<b>Details of use of school balance</b>	
Wireless infrastructure	£74,624
Desktop pcs	£69,796
Class sets of hybrid mobile devices	£44,640
Installation of CCTV	£39,896
Redecoration of circulation and classrooms	£32,994
Hybrid mobile devices class sets and teaching staff	£31,652
Replacement of flooring circulation and classrooms	£26,066
New furniture and decoration for classrooms to allow for different teaching styles	£25,136
Laptops	£17,767
Refurbishment of Drama space	£5,524
Replacement posts to sports facilities	£3,990
	£372,085

Signed:

Name and Designation:

Date:

Colin Lee Business Manager

19/09/2015

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Simms Cross Primary
<b>Total Balance 2014-15</b>	£220,998
<b>Permitted Balance</b>	£120,165
<b>Excess Balance</b>	£100,833
<b>Details of use of school balance</b>	<p>Ongoing electrical works, currently as phase 3 of 5. Following each phase there is a complete re-decoration programme including new carpets, cost so far approx £30,000. Planned re-designation of areas as works completed eg library to office, classroom to library 2017/18/19 likely completion.</p> <p>Outside areas, playgrounds require updating planned development programme over several years.</p> <p>Age of building means can be unexpected expenditure and high maintenance costs. Some is met through capital repairs but not all. For example boundary wall currently requires work at approximate cost of £6,000.</p> <p>IT resources and school network required complete overhaul, this has now begun with significant monies spend on hardware 2015/16 approx £25,000</p> <p>High mobility means variations in pupil numbers through each year, children generally have additional needs therefore high staffing ratios needed sometimes at short notice plus high supply costs, sometimes offset by enhanced funding. Variations in nursery numbers and resource base numbers have some impact on funding but staffing is permanent,</p> <p>Planned for staffing ie this year able to employ an additional TA in role of learning mentor due to cfwd, able to support part time teaching commitment of KS1 manager in order to share safeguarding role due to large numbers at CAF and level 3, social care involvement.</p>

Signed:

Name and Designation:

Date:


**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	St Bede's Infant School
<b>Total Balance 2014-15</b>	£102,819
<b>Permitted Balance</b>	£81,594
<b>Excess Balance</b>	£21,225
<b>Details of use of school balance</b>	<p>£10, 000 Capital works- pupil and staff wc refurbishment (work completed Summer 2015)/roof maintenance</p> <p>£11, 225 to support cost of temporary additional full time NQT salary to meet Infant Class Size Regulations</p>

Signed:

Name and Designation:

Date:

J. Coughlan

Jackie Coughlan

18.9.15

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	St Berteline's Primary
<b>Total Balance 2014-15</b>	£112,114
<b>Permitted Balance</b>	£95,634
<b>Excess Balance</b>	£16,480
<b>Details of use of school balance</b>	Funds to provide resources for outdoor play as required in School Improvement Plan.

Signed:

Name and Designation:

Date:


**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	St Chad's
<b>Total Balance 2014-15</b>	£440,765
<b>Permitted Balance</b>	£350,267
<b>Excess Balance</b>	£90,498
<b>Details of use of school balance</b>	<p>The excess surplus balance is being used to support all of the additional costs of St. Chad's being placed in Special Measures. This includes Training, NSS Support additional lesson observations and subsequent supply cover costs.</p> <p>Plus the additional costs incurred due to the Teacher Effectiveness Enhancement Programme.</p>

Signed:

*C.K. Smith - D. Burke*

Name and Designation:

C.K. Smith - School Business Manager/Debbie Burke - Head of School

Date:

18.09.15

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	St Edwards Primary
<b>Total Balance 2014-15</b>	£101,184
<b>Permitted Balance</b>	£57,554
<b>Excess Balance</b>	£43,630
<b>Details of use of school balance</b>	<p>Every year we need to have a surplus balance of at least £30,000 to maintain staffing levels. We have 5 classes but only allocated funds for 4.5 teachers.</p> <p>In addition, last financial year we knew that there were some other expenses on the way and were preparing for that by deliberately underspending on some budgets:</p> <p>Money is in the budget to improve a path around the school (£3,000). We delayed that work because other works on the outside of the grounds will be taking place this year and it can be done at the same time to save disruption twice.</p> <p>We need a lot of electrical work to be done and have to pay 10% of the cost to the Diocese (approx £4,500)</p> <p>We predicted that there would be a settlement agreement for a member of staff (£12,500)</p> <p>Staff need new laptops so we made savings in Capitation to purchase them - they were ordered before the holiday</p> <p>A new children's kitchen was planned for but couldn't be installed until this term and various remedial works need to be done (plumbing, electrics, flooring).</p>

Signed:

Name and Designation:

Date:


**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	St Gerard's Primary
<b>Total Balance 2014-15</b>	£195,278
<b>Permitted Balance</b>	£97,913
<b>Excess Balance</b>	£97,365
<b>Details of use of school balance</b>	<ul style="list-style-type: none"> <li>1) 2 x Sports Coaches (£32,462)</li> <li>2) 2 x 1: 1 Classroom Assistants (£27,228)</li> <li>3) One staff Settlement Agreement (£4414)</li> <li>4) Playground Refurbishment (£15,000)</li> <li>5) Spanish Teacher 1 day extra (£4,683)</li> <li>6) SENCO 1 day extra (£4,990)</li> <li>7) Wrap-around-care (£10,890)</li> </ul>

Signed:

Name and Designation:

Date:


## FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	St John Fisher Primary
<b>Total Balance 2014-15</b>	£133,304
<b>Permitted Balance</b>	£89,294
<b>Excess Balance</b>	£44,010
<b>Details of use of school balance</b>	<p>Due to a change in the management team resulting in Head and Assistant Head moving on to new appointments we were left in a situation where we were unsure of staffing for 2015-16 - We were struggling to appoint a Deputy Head due to time restraints and had to consider possibly appointing 2 Assistant Heads or 1 Deputy, therefore money has been put aside for recruitment of new SLT.</p> <p>We had intended to carry out a number of projects in 2014-15 but have held off until 2015-16 due to unfinished building works by the Archdiocese .</p> <p>£20,000 was built in the budget for 2014-15 for smart boards but you have decided to do this in 2015-16 instead</p> <p>£10,000 was built in the budget for 2014-15 for classroom furniture but you have decided to do this in 2015-16 instead</p> <p>Along with money set aside to develop the outdoor environment once building work is complete.</p>

Signed:

Name and Designation:

Date:



**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	St Mary's Primary
<b>Total Balance 2014-15</b>	£216,450
<b>Permitted Balance</b>	£96,222
<b>Excess Balance</b>	£120,228
<b>Details of use of school balance</b>	refurbishment of new build ( april) £25 000 new staffing - start sept £50 000 classroom refurbishment £15 000 extra ICT equipment £5000 Nursery painting £3000 Fitted cupboards for storage £ 12 000 external paintwork £ 10 000

Signed:

Name and Designation:

Date:


**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	St Michael's Primary
<b>Total Balance 2014-15</b>	£146,445
<b>Permitted Balance</b>	£98,134
<b>Excess Balance</b>	£48,311
<b>Details of use of school balance</b>	
£40,000	Contribution required by Cunliffes for the new classroom extension which was planned for 2013/2014 and postponed 24 months to school year 2015/2016
£10,000	Contingency fund kept for works to spritual garden and outdoor classroom - initial funding expected from Merseylink not confirmed.

Signed:

Name and Designation:

Date:

P Loughran

Headteacher

11th September 2015

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	The Holy Spirit Primary
<b>Total Balance 2014-15</b>	£65,846
<b>Permitted Balance</b>	£54,800
<b>Excess Balance</b>	£11,046
<b>Details of use of school balance</b>	<p><b>Details of use of school balance:</b></p> <p>Budget tight for 15-16 so large carry forward needed to meet the net shortfall in order to balance the budget.</p> <p>School used £49866 of the £65846 14/15 carry forward to balance the budget. This left a surplus contingency of only £15980 to meet the additional costs of maternity leave cover for admin staff (£4225), extra agency supply costs and any other unforeseen costs not budgeted for.</p>

Signed:

Name and Designation:

Date:

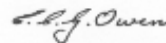

## FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Victoria Road Primary	
<b>Total Balance 2014-15</b>	£166,028	
<b>Permitted Balance</b>	£96,819	
<b>Excess Balance</b>	£69,209	
<b>Details of use of school balance</b>		
	Refurbish Second Playground	£12,000
	Possible required Contribution to Window Replacement	£10,000
	New Reading Scheme	£25,000
	Salaries to ensure two NQTs could complete their 1st Year	£22,100
	Return of Pupil Premium due to low claims by Families in Key St 1	£9,600
	Retention of TA's previously supported by Special Needs from Sep	£16,000
	Promotion of TA to HLTA	£ 6,000
	General School Improvement e.g. IT, White Boards, Networking	£26,000
	Contingency	£40,000
	<b>Total</b>	<b>£166,700</b>

Signed:



Name and Designation:

Edward C G Owen, Chair of Governors

Date:

14/09/2015

**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Warrington Road Nursery
<b>Total Balance 2014-15</b>	£47,749
<b>Permitted Balance</b>	£37,238
<b>Excess Balance</b>	£10,511
<b>Details of use of school balance</b>	<p>Shortfall on 2015-16 budget of £32,542 due to drop in numbers and changes in funding</p> <p>Redundancy payments of £1500</p> <p>Carry forward needed each year to allow for the claw back in the Autumn term when numbers drop</p>

Signed:

Name and Designation:

Date:


**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Weston Point Primary
<b>Total Balance 2014-15</b>	£161,272
<b>Permitted Balance</b>	£74,760
<b>Excess Balance</b>	£86,512
<b>Details of use of school balance</b>	<p>£11000 Fixtures and fittings new classroom                  £3000 Smart TV plus installation additional classroom                  £20 000 ICT suite                  £5000 Foundation Stage Outdoor Area                  £15 000 Corridor refurb                  £10 000 staff toilet provision                  £10 000 Site Managers room plus PE store(condition/Asbestos survey)                  £10 000 Super Annuation Cost unknown at present.</p>

Signed:

Name and Designation:

Date:


**FINANCIAL MANAGEMENT DIVISION - EXCESS SURPLUS BALANCES**

Schools Forum has requested that all schools with an excess surplus balance complete the below form and return it to the Financial Management Team - Nicola Unsworth or Anne Jones

The deadline for the return of this form is Friday 18th September 2015.

<b>School</b>	Weston Primary
<b>Total Balance 2014-15</b>	£104,291
<b>Permitted Balance</b>	£61,234
<b>Excess Balance</b>	£43,057
<b>Details of use of school balance</b>	<p>The school have planning permission in place to convert the internal courtyard into a new library/multi media suite, these plans have been included in the school Buildings and Development Plan. While the overall estimated costs for this work is around £62k the school are planning to carry out this in phases, the first will be installation of a roof to the courtyard, estimated to be £40k. Work had been expected to be completed in 2014 but due to difficulties in appointing appropriate contractors this has been carried forward into the new financial year, hence the excess balance. This will be followed by the removal of the existing external rubberised surface, infilled and replaced with carpet (Approx £7k). The third and final phase will be for the internal infrastructure and fitting out the room to make a state of the art Library and Multi media suite for all pupils within the school (Approx £15k).</p>

Signed:

Name and Designation:

Date:

Ros Aktins - Headteacher

4th September 2015

**REPORT TO:** School Forum

**DATE:** 12<sup>th</sup> October 2015

**REPORTING OFFICER:** Finance Officer, Financial Management Division

**SUBJECT:** Schools Block Funding Formula for 2016-17

**1.0 PURPOSE OF REPORT**

**1.1 To inform School Forum of the decisions required for the Schools Block funding formula for the financial year 2016-17.**

**2.0 RECOMMENDATION**

**RECOMMENDED:**

- (1) The report be noted.
- (2) That we continue to use one value for Primary, one value for KS3 and one value for KS4 pupils as per our 2015-16 formula. Also that we reduce the funding by £1.17 per pupil in order to fund the newly implemented Sparsity factor.
- (3) That we continue to use a mix of FMS6 and IDACI with differing cash values between the primary and secondary phases.
- (4) That we continue to use this factor for both primary and secondary phases with the old EYFSP framework for Years 3 – 6 at 73 points or less.
- (5) That we continue to use the Looked After Children factor.
- (6) That a decision is taken on whether to retain the cash value at the same level reducing another factor to fund the overall increase or keep the overall budget for LAC at the same level and reduce the cash value.
- (7) That we continue to not use the EAL factor.
- (8) That we continue to not use the Pupil Mobility factor.
- (9) That we agree to use the Sparsity factor now that we have a qualifying school
- (10) That we agree to fund Daresbury Primary a lump sum figure of £20,000 by reducing basic entitlement by £1.17 per pupil
- (11) That we continue to use the Lump Sum factor at the same level as 2015-16.
- (12) That we continue to use the Split Site factor and retain the criteria for eligibility and funding as current.
- (13) That we continue to fund LA Rates on the latest estimate of actual cost available.
- (14) That we continue to use the PFI factor at the same cash value per pupil as previously agreed.
- (15) That we continue to set Notional SEN at 5% of each funding factor used.
- (16) That we agree should the appeal with the EFA fail that we introduce this factor, with EFA approval
- (17) That we agree to fund the above new factor by reducing the



- Basic Per Pupil factor across all schools
- (18) That maintained primary school representatives decide which items they wish to be de-delegated for 2016-17.
  - (19) That maintained secondary school representatives decide which items they wish to be de-delegated for 2016-17.
  - (20) That we continue with the Pupil Growth Fund at the same level as for 2015-16 with the same eligibility criteria.

### 3.0 **SUPPORTING INFORMATION**

#### 3.1 Requirements and changes for 2016-17

##### DSG funding for 2016-17

Minimal information has been received about the level of Dedicated Schools Grant funding we can expect to receive for 2016-17 but indications are that it will again not include any increase except for any increase in the number of pupils.

##### Consultation

We are required to consult with schools on any proposed changes to the funding formula. The consultation was sent out on Tuesday 29<sup>th</sup> September to all Head Teachers and a response was required from all schools in order to gain maximum input.

#### 3.2 Cash values of funding factors

Actual cash values for 2016-17 can only be determined following receipt of the October 2015 census data and indicative funding settlement for 2016-17, due in the week before Christmas. It is therefore essential that all schools ensure their October census data is as accurate as possible. Any errors will result in errors in their funding calculation which we will not be allowed to correct.

We are not required to consult on the cash values attributed to each factor, as these will not be known until early January after the data and indicative grant has been released. However, schools should be aware that based on estimates of grant due for 2016-17 we are unlikely to be able to fund at the same cash levels as in 2015-16. We are working towards estimated budgets being made available to schools before Christmas but as this is the first year of calculating an estimate we don't know how accurate they will be.

Due to the expected shortfall in funding of £2.5m for 2016-17, we are looking at having to reduce all funding factors and it is likely that we will have to repeat the reduction across all funding factors in 2017-18 as well.

We have 2 options available to us:

**Option A** – to reduce all funding factors by 1.5% which will give an approximate saving of £863,000 for the year.

**Option B** – to reduce all funding factors by 1.0% and delete the budgets for Pupil Growth (£180,000) and Additional Notional SEN

(£108,000). This will give a combined saving of approximately £794,000.

We are also reviewing the funding to special schools where we have seen an increase in costs of £1.4m over the last few years and we will be looking to reduce the top-up funding levels. We have also seen an increase in the cost of provision in Independent and Non-Maintained Special Schools where a single placement can cost in excess of £70,000 for one year. We are expecting to spend over £2.5m in 2015-16 on such provision for pupils who are unable to be placed in Halton schools and academies.

As the expected DSG allocation is not yet known we have had to make assumptions based on estimated pupil numbers and have therefore summarised them below.

### 3.3 Funding Factors

**Basic per pupil entitlement** – there is a minimum requirement of £2,000 per pupil in Primary and £3,000 per pupil in Secondary. For 2015-16 our cash values were £2,588.35 per Primary pupil, £4,301.89 per KS3 pupil and £4,500.95 per KS4 pupil which well exceeded the minimum values set. We are recommending a reduction of approximately £1.17 per pupil towards the introduction of the Sparsity factor.

**Recommendation (2):** that we continue to use one value for Primary, one value for KS3 and one value for KS4 pupils as per our 2015-16 formula. That the 3 figures for Primary, KS3 and KS4 are reduced by £1.17 per pupil to help towards the proposed Sparsity factor.

**Deprivation** – we are able to use Free School Meal current eligibility, Free School Meals Ever 6 eligibility, Income Deprivation Affecting Children Index (IDACI) which uses the child's home (or main home) postcode to identify levels of deprivation or a mix of one of the FSM identifiers plus IDACI.

**Recommendation (3):** that we continue to use a mix of FMS6 and IDACI with differing cash values between the primary and secondary phases.

**Prior Attainment** – we can apply this to primary pupils identified as not achieving the expected level of development within the early years foundation stage profile and for secondary pupils not reaching Level 4 at KS2 in either English or Maths. For the EYFSP under the old framework which affects pupils in years 3 – 6, we also have the choice to apply funding to pupils attaining 78 points or less, or 73 points or less.

**Recommendation (4):** that we continue to use this factor for both primary and secondary phases with the old EYFSP framework for Years 3 – 6 at 73 points or less.

**Looked After Children** – a single cash value can be applied for any child who has been looked after for one day or more as recorded on the local authority SSSDA903 return at 31<sup>st</sup> March 2015. This is mapped to the January school census enabling the identification of the number of looked after pupils in each school.

There was discussion last year regarding the increases we are seeing in the number of looked after children in the borough. We are expecting to see a continuing rise in these numbers for 2016-17. Therefore, we need to once again decide whether to keep the funding value at the same level of £1,517.25 per pupil.

**Recommendation (5):** that we continue to use the Looked After Children factor.

**Recommendation (6):** that a decision is taken on whether to retain the cash value at the same level reducing another factor to fund the overall increase or keep the overall budget for LAC at the same level and reduce the cash value.

**English as an Additional Language (EAL)** – pupils may be funded for up to three years after they enter the statutory school system. As we have a Service Level Agreement funded centrally for this provision we do not use this factor in Halton.

**Recommendation (7):** that we continue to not use the EAL factor.

**Pupil Mobility** – counts pupils who enter a school during the last three years but did not start in September or January for Reception pupils. A threshold is applied and only mobility in excess of 10% of pupil numbers is funded. We do not use this factor in Halton.

**Recommendation (8):** that we continue to not use the Pupil Mobility factor.

**Sparsity** – this was introduced for 2014-15 but due to tight criteria set out by the EFA, no schools in Halton qualify for funding under this factor. Under the criteria set by the Education Funding Agency, this factor measures the distances between a school and its nearest compatible school on an 'as the crow flies' basis. No schools in Halton qualified under this measure. However, we are allowed to change the measurement to 'by road' and under these criteria we do have one school which qualifies, Daresbury Primary. Due to the funding difficulties of this school, we are recommending the introduction of this factor, subject to EFA approval which is being sought, at a lump sum of £20,000. As we are expecting to have 17,158 pupils within the primary and secondary mainstream phases for 2016-17 this equates to a top-slice of roughly £1.17 per pupil.

**Recommendation (9):** that we agree to use the new Sparsity factor now that we have a qualifying school

**Recommendation (10):** that it is agreed to fund the Sparsity factor at a lump sum of £20,000 by reducing basic entitlement by £1.17 per pupil.

**Lump Sum** – we are allowed to set a different lump sum for primary and secondary schools up to a maximum of £175,000 for each phase. For 2015-16 we have a lump sum of £150,570 for secondary schools and £129,570 for primary schools.

**Recommendation (11):** that we continue to use the Lump Sum factor at the same level as 2015-16.

**Split Sites** – a factor re-introduced for 2014-15 following the amalgamation of Fairfield Junior and Infant schools. The criteria is that a primary school will qualify if the main buildings are more than 110.75metres apart. Split site funding will be payable to all schools and recoument academies that meet the criteria, however it is not applicable to those schools sharing facilities, federated schools and schools with a remote sixth form. For 2015-16 the cash value was £27,402.

Split site funding is calculated as follows:

- a lump sum payment equivalent to a primary administrative post;
- 10% of the allocation for the Headteacher and the deputies of both schools; and
- The cost of standing charges for the water and energy for one of the two sites.

**Recommendation (12):** that we continue to use the Split Site factor and retain the criteria for eligibility and funding as current.

**LA Rates** – these must be funded at the authority's estimate of the actual cost. In Halton, we request details of the Rates uplift each year and build that into the final funding allocations which minimises the number of adjustments that are needed.

**Recommendation (13):** that we continue to fund LA Rates on the latest estimate of actual cost available.

**Private Finance Initiative (PFI) contracts** – to support schools which have unavoidable extra premises costs because they are a PFI school. Allocations are based on objective criteria as agreed at School Forum before the new funding regulations came into place. Only one school qualifies for funding under this factor at £190.58 per pupil.

**Recommendation (14):** that we continue to use the PFI factor at the same cash value per pupil as previously agreed.

**London Fringe** – a factor to support schools which have to pay higher teacher salaries because they are in the London Fringe area. This does not apply to Halton schools.

**Post-16** – this is a per-pupil value which continues DSG funding for post-16 pupils up to the same level provided in 2015-16. In Halton we do not use DSG funding to support Post-16 pupils so this factor cannot be used.

### 3.4

#### Minimum Funding Guarantee

The EFA have confirmed that the Minimum Funding Guarantee

(MFG) will continue at minus 1.5% on a per pupil basis. Therefore no school will lose more than 1.5% of its funding except for pupil number reductions.

### 3.5 Notional SEN

We are required to submit on our draft funding formula the level of Notional SEN against each funding factor that we use. For 2015-16 we used 5% of each funding factor.

**Recommendation (15):** that we continue to set Notional SEN at 5% of each funding factor used.

### Exceptional Premises Factors

We have not used this factor in previous years. However, the EFA have informed us that the joint use agreement of Brookvale Leisure Centre by Ormiston Bolingbroke Academy will no longer be funded from them and will need to be funded from within the DSG allocation to the LA. The expected cost of £139,000 will need to be met from within the Schools Block and we will be applying to the EFA to use this factor on the basis that the value of the cost is no more than 1% of the school's budget and applies to fewer than 5% of the schools in the local authority's area. We and the academy are appealing against the EFA decision to pass the cost back to the LA with the corresponding funding. Should the appeal fail we need to be prepared for the cost to fall back onto the DSG. We can either add this amount onto the schools block funding (thereby increasing the funding gap) or we can top slice another factor or factors to cover the cost. If we used Basic Entitlement the cost would be £8.10 per pupil based on 17,158 pupils.

**Recommendation (16):** if that appeal fails that we agree to introduce this factor, subject to EFA approval

**Recommendation (17):** to agree to top slice funding from the Basic Per Pupil factor which would spread the cost evenly and fairly across all schools.

### 3.6 De-delegated Funds

School Forum members are required to decide which funds will be de-delegated for the 2016-17 financial year. Only School Forum members of maintained schools are allowed to vote on the de-delegation for their own phase. In 2015-16 the de-delegated funds cover:

- Contingencies – at £17.01 per primary pupil and £14.80 per secondary pupil giving an estimated total of £207,807.
- Free School Meal eligibility – at £1.47 per FSM6 pupil in both primary and secondary giving an estimated total of £7,519.
- Staff costs supply cover – at £2.18 per primary pupil and £1.89 per secondary pupil giving an estimated total of £26,611.
- Licences – at £2.91 per primary pupil, £3.40 per secondary pupil and £5.64 per Post 16 pupil giving an estimated total of £48,888.

**Recommendation (18):** that maintained primary school representatives decide which items they wish to be de-delegated for 2016-17.

**Recommendation (19):** that maintained secondary school representatives decide which items they wish to be de-delegated for 2016-17.

3.7 Pupil Growth Fund

We are required to gain agreement regarding the Pupil Growth Fund. Following extensive discussion for 2014-15 it was decided that we would set the Primary Pupil Growth fund at £100,000 and the Secondary Pupil Growth fund at £80,000. To qualify for Pupil Growth funding a school needs to have 15 or more pupils on their October census data compared to the previous October census which was used for budget setting purposes.

**Recommendation (20):** that we continue with the Pupil Growth Fund at the same level as for 2016-17 with the same eligibility criteria.

4.0 **POLICY IMPLICATIONS**

4.1 None

5.0 **OTHER IMPLICATIONS**

5.1 None

<b>REPORT TO:</b>	<b>School Forum</b>
<b>DATE:</b>	<b>12th October 2015</b>
<b>REPORTING OFFICER:</b>	<b>Operational Director – Education, Inclusion and Provision</b>
<b>SUBJECT:</b>	<b>Proposal to Re-profile the Dedicated School Grant</b>
<b>WARDS:</b>	<b>Borough wide</b>

## **1.0 PURPOSE OF THE REPORT**

To provide a summary of the funding challenges faced in balancing the Dedicated Schools Grants (DSG) and to consult School Forum and special schools on the proposals to address the funding gap to ensure a sustainable and balanced DSG.

## **2.0 RECOMMENDATION: That**

- 2.1 School Forum considers the challenges faced in balancing the DSG in 2016/2017;**
- 2.2 The Forum recommends which of the options should be used to re-profile the DSG;**
- 2.3 The Board support the proposal to review and revise the top up funding for special schools within the Borough to bring the funding in line with the budget available ; and**

## **3.0 SUPPORTING INFORMATION**

- 3.1 The Dedicated Schools Grant (DSG) is allocated to Halton annually based on the number of pupils in primary and secondary schools, in early years provision and receiving high needs (special educational needs) provision. Using the number of places offered for September 2015, the estimated amount of grant for 2016-17 is £101,572,789. No uplift of DSG is expected for indicated.
- 3.2 The DSG is allocated to mainstream schools and academies in Halton using the same funding formula which the LA Finance Team calculates. The Authority is required to consult with schools and academies on the funding factors and criteria used within the funding formula but are not required to consult on actual cash values.
- 3.3 The School Forum is then presented with the recommended funding formula for approval and the funding formula (but not actual cash values) have to be submitted to the Education Funding Agency by the end of

October. The cash values attributed to each funding factor are calculated once the indicative grant settlement and actual pupil data is released in mid-December and have to be submitted to the EFA by 21<sup>st</sup> January 2016.

- 3.4 Although School Forum is consulted on the funding factors used it is the role of the Local Authority to propose and decide any decisions on formula changes including the redistributions of funding. Therefore, on 1<sup>st</sup> October 2015 Executive Board considered the current funding difficulties and proposed that School Forum be consulted on options to address the current funding gap. The School Forum must be consulted on the proposed changes and governing bodies must be informed of all consultations. For any financial issues related to special educational needs the School Forum should give their view and inform governing bodies of all consultation.
- 3.5 Since April 2010 there has been no uplift to the cash value per pupil that the local authority receives; although the amount received each year varies based on the number of pupils. Schools have been protected to a large extent as savings have been made to the central services funded by the grant instead. However, the expenditure over the past year and forecast for the current year is that there will be an overspend covered only by contingencies brought forward from previous financial years.
- 3.5 The indicative grant was £101,773,600 for 2014-15 and we carried forward £5.35m of central balances from previous years into 2014-15. By the end of the year those central balances had reduced by £2.73m to £2.62m.
- 3.6 Over the same period school balances for primary and secondary schools had increased by £0.75m from £5.94m to £6.69m even though within that year one secondary school and two primary schools had converted to academies so there were three fewer schools at the end of the year.
- 3.7 The indicative DSG for 2015-16 for Halton was £104,006,000 due to an increase in pupil numbers. After the top-slice for monies paid directly to academies and non-maintained special schools Halton will receive £77,506,000 in actual payments.

3.8 The estimated outturn for 2015-16 is as follows:

Devolved directly to maintained schools:	£65,216,403
Forecast central expenditure	<u>£12,833,613</u>
	£78,050,016

This gives a forecast overspend of £544k for this current year. The balance of contingencies at the end of 2015-16 is therefore expected to reduce to £2.076m.



- 3.9 The estimated grant for 2016/2017 is £101.6m based on the number of places offered for September 2015. From this we require £14.2m to cover all central services leaving £87.4m for schools. However, using the 2015-16 cash values for the 2016-17 estimated pupils we require £89.9m for schools. This leaves a funding gap of £2.5m.
- 3.10 The Early Years phase which covers all 2, 3 and 4 year old provision has a budget of £5.3m and a forecast spend of £7.0m, leaving an overspend of £1.7m. This is due to the take up of free entitlement being more than we are funded for. As participation increases so our grant allocation will increase however we are only given an increase (or decrease) in budget after the end of the financial year.
- 3.11 The High Needs block of DSG covers special schools, resource bases, enhanced provision, independent school provision and a range of central services mainly within the Inclusion division. We will receive £13m allocation for 2016-17 but are expecting to spend £15.6m, leaving a gap of £2.6m.
- 3.12 The breakdown of costs is given below:
- |                               |              |
|-------------------------------|--------------|
| Special Schools including PRU | £6.6m        |
| Resource bases                | £1.6m        |
| Enhanced Provision            | £1.7m        |
| SLA's for the Resource Bases  | £0.4m        |
| Post 16 independent provision | £1.1m        |
| Independent schools           | £2.5m        |
| Other                         | <u>£1.7m</u> |
| Total                         | £15.6m       |
- 3.11 The schools block of DSG covers mainstream primary and secondary schools. Just over £1.1m is retained centrally and the level and purpose is strictly defined by the regulations. The majority is devolved directly to schools however we have historically not passed on the full amount as this block of DSG has covered the overspends in the Early Years and High Needs areas. We have reached a point whereby the underspend in this block no longer achieves this.

#### 4.0 BUDGET OPTIONS

- 4.1 **Special Schools Funding** - The issues faced are mainly around the numbers and costs of high needs pupils. The cost for the special schools in 2013-14 was £5.2m while the forecast cost for 2015-16 is £6.6m, an increase of £1.4m. Of this, £268k relates to new provision – that of the sixth form at Ashley special school.
- 4.2 The cost of the special units within mainstream schools has stayed at £1.6m; the cost of enhanced provision has increased by £0.2m. However the cost of independent school provision has increased by £0.9m from £1.6m in 2013-14 to £2.5m expected in 2015-16.

- 4.3 Consequently a review is being undertaken of the funding for special schools with a view to aligning spend to the budget available. This will require an application to the Schools Minister for permission to disapply the minimum funding guarantee. Thereby allowing an overall reduction to the special schools budgets of more than 1.5%.
- 4.4 The DSG covers the costs of all Halton pupils whether educated in Halton schools or educated in either other LAs or independent special schools. Over the last few years there has been an increase in the number of pupils placed in independent provision outside the Borough as schools have said that they are not in a position to meet their needs. Consideration will need to be given at School Forum as to the implications of this trend and whether there are other better more efficient ways to meet the needs of many of these children and young people within the Borough. The School Forum will be advised that the costs of placing children and young people from the Borough is significantly higher than educating them with Halton schools and that the more pupils we place in independent provision the greater the reduction will be on delegated schools budgets.
- 4.5 For Primary and Secondary schools, every attempt has been made to protect the budget within each funding factor, adjusting only for increases or decreases in pupils numbers. The exception has been the funding for Looked After Children which despite the significant increase in numbers has remained at £1,517.25 per pupil. This has meant the total amount passed to schools for LAC increasing from £151.5k in 2013-14 to £232k for 2015-16. (An increase of £80.5k, or 53 pupils). This increase has been offset by a corresponding decrease in other funding factors for schools.
- 4.6 **Option A** - The Minimum Funding Guarantee protects schools from budget reductions of more than 1.5% on their previous years' budget other than for falling pupil numbers. This means that if we need to reduce the cash values of the funding factors by more than 1.5% it has no impact on the overall budget received by a school. A reduction of 1.5% across all funding factors would save £863k and so reduce the funding gap to just over £1.7m.
- 4.7 If a further reduction of 1.5% was considered across all funding factors for 2017-18 within the primary and secondary sectors, this would give approximately £850k of savings. Therefore over the two years 2016-17 and 2017-18 we could reduce the primary and secondary budgets by £1.7m which in conjunction with the special schools review will ease the pressure overall on the grant. If the funding formula remains unchanged, by 2018-19 we should be in a position to cover all our expected costs within the grant and hopefully be able to start rebuilding our contingencies which have served us so well over the last couple of years.

- 4.8 **Option B** -There is an alternative option available to schools to reduce their funding. This is the recommended option as it will reduce the overall level of cuts each school has to their budget over the two years. The option is to reduce the funding factors by 1% and take out the funding for Pupil Growth (budget of £180,000) and the Additional Notional SEN funding (budget of £108,500). These combined actions should produce a similar level of saving as the 1.5% reduction in funding factors of £794k in year 1 and a similar sum again in year 2. This along with the reduction in special schools budgets should balance the budget.

## **5.0 POLICY IMPLICATIONS**

- 5.1 Government Policy is that the current funding allocation will be replaced by a National Funding Formula. There is no detail at this stage as to what this would look like and when it is likely to be introduced. However, in order to ensure Halton Schools are in the best position if and when the National Funding Formula is introduced every effort has been made to keep schools at the mid-range of cash values for each funding factor.
- 5.2 A separate report has been prepared for School Forum to consider in relation to the review of funding for Special Schools. Once this review has been completed, consultation will take place with the schools and governing bodies. A report on the outcome of these consultations will be provided to Executive Board so that a final decision can be made.
- 5.3 There is a possibility that when the indicative grant is received along with the actual pupil data in mid-December that the funding gap will alter as the figures used within this report are estimates based on 2015/2016 budgets and numbers. Agreement to the proposal is however essential at the October Board as the indicative budget is received towards the end of December and the cash values must be calculated and submitted to the Education Funding Agency by 21<sup>st</sup> January 2016.

## **6.0 FINANCIAL IMPLICATIONS**

- 6.1 The DSG funding gap is estimated to have increased to approximately £2.5 million. In previous years any funding gap has been covered through the use of unallocated funds and the carry forward contingency from previous years.
- 6.2 To address the funding gap it is proposed that the primary and secondary school budgets are re-profiled in line with either Option A or Option B with a maximum of 1.5% reduction taken from each school in the next two financial years. In addition, a review of special schools funding is undertaken which brings spend in line with their original funding allocation.
- 6.3 Appendix A shows the impact of the proposed reductions on the different categories and sizes of schools.

DSG 2016-17 - impact of 1.5% reduction across all funding factors for Primary and Secondary schools

Phase	Size	No pupils	2016-17 budget based on:				
			15-16 cash values	1.5% reduction	Difference	1% reduction	Difference
Primary	Small	96	£ 495,168	£ 489,492	£ 5,676	£ 490,232	£ 4,936
Primary	Medium	151	£ 627,195	£ 620,168	£ 7,027	£ 620,983	£ 6,212
Primary	Large	399	£ 1,243,224	£ 1,224,649	£ 18,575	£ 1,230,829	£ 12,395
All Primaries			£ 40,362,035	£ 39,984,586	£ 377,449	£ 40,024,124	£ 337,911
Secondary	Small	655	£ 3,612,761	£ 3,558,755	£ 54,006	£ 3,576,832	£ 35,929
Secondary	Medium	944	£ 5,172,213	£ 5,101,500	£ 70,713	£ 5,120,704	£ 51,509
Secondary	Large	1526	£ 8,415,945	£ 8,295,585	£ 120,360	£ 8,332,227	£ 83,718
All Secondaries			£ 40,058,898	£ 39,573,337	£ 485,561	£ 39,711,645	£ 347,253
Total			£ 80,420,933	£ 79,557,923	£ 863,010	£ 79,735,769	£ 685,164

**REPORT TO:** School Forum

**DATE:** 12<sup>th</sup> October 2015

**REPORTING OFFICER:** Finance Officer, Financial Management Division

**SUBJECT:** Grant allocations for 2015-16

1.0 **PURPOSE OF REPORT**

1.1 **To report to the School Forum an update on the grant allocations relating to schools for the 2015-16 financial year.**

2.0 **RECOMMENDATION**

(1) The report is noted.

3.0 **SUPPORTING INFORMATION**

**Dedicated Schools Grant: DSG** – Halton has received a total amount of £102,634,112. This includes an amount of £27,374,533 that is distributed directly to Academies. Therefore for central services and maintained schools there is a remaining balance of £75,259,579. There is a remaining amount of £2,625,589 carried forward from 2014/15. This makes the total available grant of £77,885,168.

**Pupil Premium: PP** – Halton is receiving £8,624,020 which includes FSM6, Post LAC, Service Children and LAC. The LAC element is £323,000. Of the remaining Halton will receive £6,431,280 for the other elements, with the balance going directly to the Academies.

**Sixth form** – This funding is received for St Chad's, Saints Peter and Paul, Ashley and the 6<sup>th</sup> form in non-maintained schools and independent schools. The grant for this financial year is £1,525,460. The grant is allocated to schools for each academic year but we have to ensure that it is paid to the schools and recorded for on a financial year basis.

**Additional Grant to Schools: AGS** – There are 2 elements to this grant and so far we have only received the Primary PE and Sports Grant which is a total of £180,904. We have not heard anything in relation to the Secondary PE Teacher Release Grant funding.

**Universal Infant Free School Meals: UIFSM** – We have received the first payment of £670,071 and this has been devolved out to the schools.

**Devolved Formula Capital: DFC** – The allocation for this financial year is £246,346. This is only for the non-voluntary aided schools as they have their allocations paid directly to their dioceses

and not to the local authority. We have 18 non VA schools in the borough. The DFC requires schools to spend the allocation within 3 financial years of receiving it. Within Halton Financial Management Team we keep a check on the balances and alert schools if we believe it may not be spent by the deadline.

4.0 **POLICY IMPLICATIONS**

4.1 None

5.0 **OTHER IMPLICATIONS**

5.1 None