

Schools Forum
Wednesday, 5 July 2017 at 8.00 am
VENUE: Committee Room 1 - City Hall, Bradford

PLEASE NOTE

All meetings will be held in public; the agenda, decision list and minutes will be publicly available on the Council's website and Committee Secretariat, Room 112, City Hall, Bradford.

The taking of photographs, filming and sound recording of the meeting is allowed except if Councillors vote to exclude the public to discuss confidential matters covered by Schedule 12A of the Local Government Act 1972. Recording activity should be respectful to the conduct of the meeting and behaviour that disrupts the meeting (such as oral commentary) will not be permitted. Anyone attending the meeting who wishes to record or film the meeting's proceedings is advised to liaise with the Forum Clerk Asad Shah - 01274 432280 who will provide guidance and ensure that any necessary arrangements are in place. Those present who are invited to make spoken contributions should be aware that they may be filmed or sound recorded

1. APOLOGIES FOR ABSENCE

The City Solicitor will report the names of alternate Members who are attending the meeting in place of appointed Members.

2. DISCLOSURES OF INTEREST

To receive disclosures of interests from Members on matters to be considered at the meeting. The disclosure must include the nature of the interest.

An interest must also be disclosed in the meeting when it only becomes apparent to the member during the meeting.

3. MINUTES OF 15 MARCH AND MATTERS ARISING

1 - 6

4. MATTERS RAISED BY SCHOOLS

Members will be asked to consider any issues raised by schools.

- Letter to the Chair from Bingley Grammar School regarding de-delegation for maternity costs in the secondary phase in 2017/18.



- Communication to the Chair from the CEO of BDAT regarding Trade Union Facilities Time.

5. STANDING ITEM - DSG GROWTH FUND ALLOCATIONS (a) 7 - 10

Members will be asked to consider, in **Document HI**, newly proposed allocations to schools and academies from the established DSG Growth Fund in 2016/17.

Recommended –

The Schools Forum is asked to agree the proposed Growth Fund allocations shown in Document HI.

(Andrew Redding – 01274 432678)

6. SCHOOLS FORUM MEMBERSHIP - CHAIR AND VICE CHAIR (a)

Members will be asked to approve the proposed approach to the election of the Chair and Vice Chair of the Schools Forum for 2017.

(Andrew Redding – 01274 432678)

7. SCHOOLS FORUM MEMBERSHIP (a) 11 - 16

The Business Advisor (Schools) will present a report, **Document HJ**, which provides an update and asks Members to review the Forum's membership composition.

Recommended –

The Schools Forum is asked to consider the update provided and to review the proposed membership composition for 2017/18.

(Andrew Redding – 01274 432678)

8. SCHOOLS FORUM PANEL RECOMMENDATION - OASTLER SCHOOL (a) 17 - 18

The Business Advisor (Schools) will present a report, **Document HK**, which asks the Schools Forum to consider the recommendation from the Panel on the letter received by the Schools Forum from Oastler School.

Recommended –

The Schools Forum is asked to consider the recommendation of the Panel. The Schools Forum is asked to agree its recommendation on this matter for presentation to the Executive.

(Andrew Redding – 01274 432678)



9. UPDATE ON MATTERS CONCERNING THE 2017/18 DEDICATED SCHOOLS GRANT (i) 19 - 24

The Business Advisor (Schools) will present a report, **Document HL**, which provides an update on a number of matters related to the 2017/18 Dedicated Schools Grant.

Recommended –

The Schools Forum is asked to consider and to note the information provided in the report.

(Andrew Redding – 01274 432678)

10. UPDATE: STRATEGIC REVIEW OF SEND & HIGH NEEDS BLOCK MATTERS (i) 25 - 50

A presentation will be made, which provides a detailed update on SEND provision and Behaviour strategy matters. The documentation supporting the Forum consultation is included for reference at **Document HM** (1 and 2).

Recommended –

Members are asked to consider and respond to the presentation.

(Judith Kirk – 01274 439238)

11. SCHOOLS' OUTTURN (REVENUE BALANCES) 2016/17 (i) 51 - 54

The Business Advisor (Schools) will present a report, **Document HN**, which shows the position of revenue balances held by maintained schools at 31 March 2017. The report also provides information on schools' reporting of surplus balances and a further update on the anticipated volume of conversions of maintained schools to academy status in Bradford and the likelihood of liabilities resulting from the conversion of schools holding deficit budgets.

Recommended –

The Schools Forum is asked to note the information provided.

(Andrew Redding – 01274 432678)

12. SCHOOLS' FINANCIAL VALUE STANDARD (i) 55 - 56

The Business Advisor (Schools) will present a report, **Document HO**, which provides the Forum with an update on the compliance of maintained schools with the Schools' Financial Value Standard (the SFVS) at 31 March 2017.

Recommended –

The Forum is asked to consider & to note the information provided.

(Julie Cousins – 01274 432791)



13. FINANCIAL CLASSIFICATION OF MAINTAINED SCHOOLS 2017/18 (i) 57 - 58

The Business Advisor (Schools) will present a report, **Document HP**, which provides the Forum with a summary of the categorisation of maintained schools within the Local Authority's Financial Classification of Schools for the 2017/18 academic year.

Recommended –

The Forum is asked to consider & to note the information provided.

(Andrew Redding – 01274 432678)

14. OTHER SCHOOLS FORUM STANDING ITEMS (i)

Updates on the following Forum standing items will be provided verbally where these have not been covered within other agenda items:

- Update from the Schools Financial Performance Group (SFPG)
- Update on School / Academy Budgets
- Update from the Early Years Working Group (EYWG)
- Update from the Formula Funding Working Group (FFWG)
- Update on Primary School Places
- Update on Academies & Free Schools

Recommended –

The Forum is asked to note the information provided.

(Andrew Redding – 01274 432678)

15. AOB / FUTURE AGENDA ITEMS

Members will be asked for any additional items of business, for consideration at a future meeting.

16. DATE OF NEXT MEETING

Please note that the dates for Schools Forum meetings for the 2017/18 academic year have been set as follows:

Wednesday 20 September 2017, 8am
Wednesday 18 October 2017, 8am
Wednesday 6 December 2017, 8am
Wednesday 10 January 2018, 8am
Wednesday 17 January 2018, 8am (provisional meeting)
Wednesday 14 March 2018, 8am
Wednesday 16 May 2018, 8am
Wednesday 4 July 2018, 8am

The meetings will commence at 0800 in the City Hall, Bradford.

(a)

(b) Denotes an item for ACTION

(c) Denotes an item for INFORMATION





**City of Bradford
Metropolitan District Council**



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MINUTES OF THE MEETING OF THE SCHOOLS FORUM HELD ON WEDNESDAY 15 MARCH 2017 AT CITY HALL, BRADFORD

Commenced 0805

Concluded 0935

PRESENT

SCHOOL MEMBERS

Bev George, Brent Fitzpatrick, Chris Quinn, Dianne Richardson, Dominic Wall, Emma Hamer, Ian Morrel, Kevin Holland, Lesley Heathcote, Michele Robinson, Nicky Kilvington, Nigel Cooper, Ray Tate, Sue Haithwaite, Tehmina Hashmi, Trevor Loft, Wahid Zaman

NON SCHOOLS MEMBERS & NOMINATED SUB SCHOOL MEMBERS

Alison Kaye, Donna Willoughby, Ian Murch and Irene Docherty

LOCAL AUTHORITY (LA) OFFICERS

Andrew Redding	- Business Advisor (Schools)
Asad Shah	- Committee Services Officer
Dawn Haigh	- Principal Finance Officer (Schools)
Jenny Cryer	- Assistant Director, Performance, Commissioning and Partnerships
Sarah North	- Principal Finance Officer Schools
Stuart McKinnon-Evans	- Strategic Director, Corporate Services

APOLOGIES

Members – Brent Fitzpatrick, Helen Williams, Lesley Heathcote, Maureen Cairns, Sir Nick Weller, Sami Harzallah and Tahir Jamil; Executive Portfolio Holder – Education, Employment And Skills – Councillor Imran Khan; Regular Observer - Lynn Murphy (Business Manager, Feversham College)

DOMINIC WALL IN THE CHAIR

CHAIR'S OPENING REMARKS

The Chair welcomed Tehmina Hashmi (Principal – Bradford Academy) for her first attendance as a full Member of the Schools Forum.



241. DISCLOSURES OF INTEREST

The Chair disclosed that he has had a conversation with the Chair of Governors of Oastler School in relation to the school's letter, which is currently under consideration by the Forum's Panel.

No other declarations of interest were received.

242. MINUTES OF 7 DECEMBER 2016, 11 & 18 JANUARY 2017 & MATTERS ARISING

The Business Advisor (Schools) reported on progress made on "Action" items as follows:

- An update on the action items recorded in the minutes of the 11 and 18 January would be reported back within reports to this meeting (especially Document HG), rather than separately.
- The Chair reported that the Forum's recommendations on the 2017/18 DSG allocation have been agreed by Council without amendment.
- An updated version of the individual school national formula funding modelling, based on the final option 4 agreed by the Schools Forum, is included within the meeting's document for Members' reference.
- The majority of action items recorded in the 7 December minutes related to information that was requested and presented back to the Forum on 11 January.
- Picking up 2 specific matters recorded in the 7 December minutes:
 - The request for a report on what guiding strategies the Council is employing to deliver its budget savings (strategies such as focusing on early help, delivering further efficiencies, multi agency budget collaboration and transfer of responsibilities) will be provided to a future Forum meeting.
 - Oastler letter and Panel recommendation – The 2nd meeting of the Panel has been arranged for 27 April. It is expected that the Panel's recommendation will be presented to the next Forum meeting.

Resolved –

- (1) That progress made on "Action" items be noted.**
- (2) That the minutes of the meeting held on 7 December 2016, 11 & 18 January 2017 be signed as correct records.**

ACTION: *City Solicitor*



243. MATTERS RAISED BY SCHOOLS

No resolution was passed on this item.

244. STANDING ITEM – DSG GROWTH FUND ALLOCATIONS

No resolution was passed on this item.

245. NATIONAL FUNDING FORMULA – CONSULTATION RESPONSE

The Business Advisor (Schools) presented **Document HF**, which provided an update on National Funding Formula news and which asked the Schools Forum to consider its response to the DfE's 2nd stage of consultation, the closing date being 22 March 2017.

A response drafted by the Business Advisor (Schools) was presented with this report. It was explained that the response has been written in particular to highlight our concerns on:

- The reduction in the spending power of school budgets that comes from the lack of response to the growth in costs in schools, especially in staffing costs.
- The impact on smaller schools with the proposal for a low value of lump sum.
- The excessive damping of the High Needs Block national formula result when this is viewed over a medium term period.

Members were asked for their views on this drafted response. Members asked the following questions and made the following comments:

- Whether the response has been submitted already? It was clarified that the response has not yet been submitted, but needed to be submitted by the closing date of 22 March. It was agreed that the drafted response be sent to Members electronically so that Members could share with colleagues. Any additional feedback is to be sent directly to the Business Advisor (Schools).
- The response should be strengthened to emphasise the financial pressure being faced by the primary and the lack of solution to this within the national funding formula as currently proposed. The response should also include reference to the pressure in schools brought about by the continued low level of capital funding.
- How will the BSF affordability gap element be funded under NFF? It was confirmed that a longer term formula solution is still to be proposed and this this was an area of 'risk' going forward. For an interim period, this would be funded based on the previous year's cost plus inflation.

Resolved –

- (1) That the drafted response to the DfE's 2nd stage of consultation on National Funding Formula be supported.**
- (2) Members should return any additional comments on the proposed response**



directly to the Business Advisor (Schools) before the 22 March deadline.

ACTION: Business Advisor (schools)

246. UPDATE ON MATTERS CONCERNING THE 2017/18 DEDICATED SCHOOLS GRANT

The Business Advisor (Schools) presented **Document HG**, which provides an update on a number of matters related to the 2017/18 Dedicated Schools Grant. It was explained that this is a 'catch up' document, which provides a quick summary of some key aspects of the DSG position following the January meetings. It also then provides a more detailed update on 3 matters in particular:

- The Social Impact Bond.
- Fischer Family Trust (reporting the final details of the agreed contract with FFT).
- Primary FSM% additional data.

The Business Advisor also explained that the local authorities are currently waiting for some key pieces of information from the DfE, especially:

- The Nursery School Supplement validation exercise. It was reported to the meeting verbally that this exercise has now been completed.
- The operational guidance for the administrative management of the extended 30 hours early years free entitlement. The Early Years Working Group is likely to need to review our Early Years Single Funding Formula arrangements from autumn 2017 in response.
- The DSG Blocks re-baselining exercise

Resolved –

- (1) That Document HG be noted.**
- (2) That a detailed update on the Authority's SEND Review be presented to the next Schools Forum meeting.**

LEAD: Business Advisor (Schools)

247. MATTERS CONCERNING SCHOOL AND ACADEMY BUDGETS

The Business Advisor (Schools) presented **Document HH**, which provided an update on matters related to school and academy budgets. It was explained that this is an interim update on the position of the conversion of maintained schools to academy status and the financial impact so far and what financial impact (in terms of risk of deficit) is immediately forecasted, following the request made by the Forum at the last meeting. A more detailed update will be provided to the next meeting (as we usually do within the Forum's standard timetable). The report highlighted two key new pressures – the Apprenticeship Levy and the increase in the employer's contribution for employees enrolled in the West Yorkshire Pension Fund (WYPF).



Given the fluidity of the position of school budgets and academy conversions, the Business Advisor asked Members whether a position statement should become a standing agenda item.

Members asked the following questions and made the following comments:

- It would be helpful for further details of the lump sum element of the WYPS 2017/18 to be provided, especially for high needs providers who have a larger proportion of non-teaching staffing.
- An academy member expressed his surprise at the cost of assessment by the WYPS upon conversion to academy. The Director of Finance explained that, as academies become separate employers, the volume of assets becomes more divided and this creates more work for the WYPF.
- A member representing the Trades Unions stated that every defined benefit pension scheme went further into deficit during 2016 and so there is an inherent cost 'risk' within the WYPF in terms of the cost of employer's contributions. Has an assessment of the position of the WYPF for 2016 (the basis of the next tri-annual value assessment) has been made? The Director of Finance responded to explain that the Local Authority is discussing this with the actuaries and that the actuaries have undertaken to refresh their value assessment more regularly.
- That school and academy budgets are facing enormous financial pressure and the Schools Forum should receive regular updates as this position develops further.
- Does the Authority's Intended Use of Balances control allow schools to hold monies in support of future costs and budget protection? The Business Advisor (Schools) explained that it does, but that the key requirement is that schools are clear about how and why they are holding money in reserve for spending on these purposes.
- That it would be helpful for an analysis to be presented on the funding streams that make up the Government's "£40bn" of spending on schools; how this is distributed between grants and how much of this is allocated into Bradford, to inform further discussion on the position of school and academy budgets and opportunities for access to these funding streams.

Resolved –

- (1) That Document HH be noted.**
- (2) That an update on the position of school and academy delegated budgets be made a standing agenda item in School Forum meetings.**
- (3) That the values of the lump sum payments to be made by individual schools to the West Yorkshire Pension Fund be provided.**
- (4) That analysis be presented on the funding streams that make up the Government's "£40bn" of spending on schools; how this is distributed between grants and how much of this is allocated into Bradford, to inform further discussion on the position of school and academy budgets and opportunities for access to these funding streams.**



LEAD: Business Advisor (Schools)

248. OTHER SCHOOLS FORUM STANDING ITEMS

No resolution was passed on this item.

249. AOB

The Executive Member for Education, Employment and Skills invited Schools Forum members to attend the launch event of 'One Britain, One Nation' on 24 March at City Hall.

Resolved – That an update be provided to the next meeting on the Schools Forum's membership arrangements.

LEAD: Business Advisor (Schools)

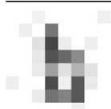
250. DATE OF NEXT MEETING

The next meeting of the Schools Forum is Wednesday 17 May 2017.

Note: These minutes are subject to approval as a correct record at the next meeting of the Schools Forum.

committeesecretariat\minutes\SF\15Mar17

THESE MINUTES HAVE BEEN PRODUCED, WHEREVER POSSIBLE, ON RECYCLED PAPER



SCHOOLS FORUM AGENDA ITEM

For Action



For Information



Brief Description of Item

Members are asked to consider and agree newly proposed allocations to schools and academies from the established DSG Growth Fund in 2017/18.

Date (s) of any Previous Discussion at the Forum

The criteria for funding expanding schools and bulge classes in 2017/18 were included as part of the consultation on Primary and Secondary funding in 2017/18, and were agreed by members prior to submission of our final pro-forma to the EFA in January 2017.

Background / Context

As was the case in 2016/17, the School and Early Years Finance (England) Regulations 2017 allow for a Growth fund to be held and managed centrally within the DSG. The Regulations require that this fund is:

- ringfenced i.e. cannot be spent on any other purpose. Any unspent growth funding remaining at the year-end should be reported to the Schools Forum. Funding may be carried forward to the following funding period, and can be used specifically for growth if the authority wishes.
- available to be accessed by both maintained schools and academies across the District (with both maintained school and recouplement academy budgets contributing to the cost of this fund prior to new delegation).

The Regulations also require that local authorities consult their Schools Forum before incurring any expenditure due to a significant growth in pupil numbers as a result of the local authority's duty under section 13(1) of the 1996 Act to secure that efficient primary education and secondary education are available to meet the needs of the population of their area. How the Growth fund operates is for local determination.

The criteria and mechanisms for allocating funding from the Growth fund were agreed by Forum members following the consultation process in October 2016, and were part of our final funding pro-forma submitted to the EFA in January 2017. The consultation included the clarification and establishment of the basis for the funding of growth in the secondary phase. Funding has already been allocated and agreed for existing primary expansions and bulge classes in 2017/18; this funding was included in 2017/18 Section 251 Budget statements (and in Authority payments to academies).

The agreed criteria and mechanisms for allocating growth funding to primary schools / academies in 2017/18 are as follows:

- Where a school / academy is expanding or admitting a bulge class for the first time in September 2017, the school / academy is allocated 80% of the value of the base amount per pupil for the additional planned intake number, for the remaining proportion of the year i.e. $80\% \times \text{£Base APP} \times \text{additional planned intake number} \times 7/12$. In the following financial year, funding is then allocated as follows:
 - A permanently expanding school / academy would receive funding calculated on the difference between the October Census pupil numbers and a calculation of the composite 5/12 + 7/12 numbers, based on an estimate of the following year September intake. The school / academy will then be allocated 80% of the value of the additional base amount per pupil, for the additional number of calculated pupils.
 - No additional funding is necessary or allocated for a school / academy that has a bulge class of 30 pupils from the previous year; this additional class is automatically funded within the normal budget as the full class will be included in the October Census.
 - Additional funding is allocated, however, for a school / academy that has a half bulge class in each year for the lifetime that half class is at the school / academy. An additional sum is allocated based on 80% of the value of the base amount per pupil for the difference between 30 and the actual number of children in the half class. E.g. For an existing half class of 15 pupils the funding would be calculated as $(30-15) \times \text{£Base APP} \times 80\%$.

Background / Context

The agreed criteria and mechanisms for allocating growth funding to secondary schools / academies in 2017/18 are as follows:

For secondary schools / academies either permanently or temporarily increasing PAN eligibility for growth funding is assessed on the following principles and criteria:

- The school or academy must have admitted additional pupils (either via a permanent expansion or a one off bulge class) at the request of the Local Authority to meet basic-need sufficiency and only numbers associated with basic need sufficiency will be eligible for funding.
- The request for additional places from the Authority has come within the normal admissions round and relates to the school's year 7 intake i.e. pupils admitted at other times in year, admissions to year groups other than year 7, or pupils admitted on appeal or under the Fair Access Protocol, are not funded by the Growth Fund. Consideration of additional funding in these circumstances would be picked up by the exceptional pressures / schools in financial difficulty fund for maintained schools only.
- Funding in the first year is calculated on actual numbers and allocated only once actual October Census numbers are confirmed (so for additional pupils in September 2017, funding will be calculated and allocated on the basis of the additional costs associated with the actual number of additional pupils recorded in the October 2017 Census).
- Funding is allocated only after an assessment of the actual cost implications of the additional pupils on the school's budget for the lifetime of the process of expansion e.g. in admitting additional pupils the school evidences that it must incur additional costs in year and that these costs are commensurate with the value of additional funding that would be allocated. This assessment would be carried out at the time of the initial discussion / consultation between the Local Authority and the school or academy, and would take the form of a budget discussion with the headteacher and business manager.

Funding for eligible schools and academies will be calculated as follows:

- Where a secondary school or academy is permanently expanding by increasing the size of its year 7 for the first time in September 2017, the school / academy is allocated 80% of the value of the Key Stage 3 base amount per pupil for the additional planned intake number, for the applicable proportion of the year (for September expansions this is 7/12ths). On 2017/18 values this would give £3,215 per pupil. Funding will be physically allocated in-year.
- Where an established secondary school or academy is permanently expanding by increasing the size of existing year groups, and has already begun to expand before the start of the financial year, the additional allocation will be included within the school's / academy's initial budget. Funding is calculated on the difference between the October 2016 census pupil numbers and a calculation of the composite 5/12 + 7/12 numbers, based on an estimate of the school's October 2017 Census. The school will then be allocated 80% of the value of the Key Stage 3 base amount per pupil for the difference between the actual and the composite calculation. On indicative 2017/18 values this would give £3,215 per pupil. At the point the school's expansion reaches Key Stage 4, 80% of the Key Stage 4 base £app will be used (which is £3,405).
- Where a secondary school or academy has been asked to take a year 7 bulge class (one off temporary PAN increase) of any size, funding is allocated on the same basis as for new permanently expanding schools above; at 80% of the Key Stage 2 base amount per pupil value for the planned additional admission number for the relevant proportion of the financial year. This is a one off allocation. In the following financial year, no additional funding is allocated; this additional class is automatically funded within the school's / academy's normal revenue budget.

Details of the Item for Consideration

This paper asks members to consider allocations from the Primary Growth fund to 2 primary schools that are expanding for the first time from September 2017; the funding will support an increase in provision as follows:

- **Addingham Primary School** will increase in admission number for 1 year (half bulge class) from 30 to 45 pupils from September 2017, resulting in an allocation of **£39,148** in 2017/18 and then £33,556 (indicatively) annually for the lifetime of the bulge class. Please note that the Authority has employed exceptional criteria in the allocation of full bulge class funding in 2017/18 only, due to the school's overall financial position and ability to finance a bulge class in the initial 2017/18 period.
- **Parkland Primary School** will increase in admission number (permanently) from 30 to 60 pupils from September 2017, resulting in an allocation of **£39,148** in 2017/18 and then indicatively on an annual basis until the school is fully established at 2 forms of entry.

Please note that allocations for expansions in the secondary phase at September 2017 will be presented to the Schools Forum for agreement in October (following the confirmation of October Census numbers). Indicative values will be provided to schools and academies prior to this for their planning purposes.

Implications for the Dedicated Schools Grant (DSG) (if any)

The Forum has set aside the following values of Growth Fund for new expansions during 2017/18:

- Primary £300,000
- Secondary £680,000

The remaining balance of the Primary Growth Fund in 2017/18, after the 2 allocations set out above, will be £221,704. No allocations have yet been formally agreed by the Schools Forum from the Secondary Growth Fund (will be presented in October).

How does this item support the achievement of the District's Education Priorities

The Bradford District has one of the fastest growing populations in the country leading to an increased demand on the available places. This increase in demand is being addressed through a phased expansion of a number of primary schools and academies across the district. The Local Authority has a duty to ensure that sufficient high-quality provision is available to meet the needs of all Bradford District children.

Allocations of funding from the Growth Fund are necessary to support schools and academies throughout their expansion in order that the District meets the demands of the local population.

Recommendations

Primary Forum members are asked to agree to allocate a total of £78,296 from the Primary Growth Fund to the following schools in 2017/18:

- Addingham Primary School £39,148
- Parkland Primary School £39,148

List of Supporting Appendices / Papers

None.

Contact Officer (name, telephone number and email address)

Sarah North, Principal Finance Officer
01274 434173
sarah.north@bradford.gov.uk

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Schools Forum Membership (35 Members)

	Current Member	Proposed June 2017	
SCHOOLS AND ACADEMIES MEMBERS (27)			
MAINTAINED SCHOOLS (14)			
Nursery Headteachers (1)	Bev George	Continue	
Nursery Governors (1)	Ray Tate	Continue	
PRUs Representative (1)	Trevor Loft	Continue	
Maintained Primary Headteachers (5)	Michele Robinson Nicky Kilvington Dianne Richardson (Vice Chair) Nigel Cooper <i>Vacant</i>	Continue 5 posts. Remove 3 posts (transferred to academy members)	
Maintained Primary Governors (2)	<i>Vacant</i> Emma Ockerby Sami Harz Tahir Jamil		
Maintained Secondary Headteachers (1)	Ian Morrel		Continue 1 Post. Remove 1 post (transferred to academy members)
Maintained Secondary Governors (1)	Chris Quinn		Continue 1 Post
Maintained Special Headteacher (1)	Sue Haithwaite		Continue (but keep under review)
Maintained Special Governor (1)	Brent Fitzpatrick MBE	Continue (but keep under review)	
ACADEMIES (13)			
	Dominic Wall (Chair)	Continue	
	Sir Nick Weller	Continue	
	Dwayne Saxton	Continue	
	Tehmina Hasmi	Continue	
	Lesley Heathcote	Continue	
	Helen Williams	Continue	
	Kevin Holland	Continue	
	Maureen Cairns	Continue	
	Wahid Zaman	Continue	
	Mary Copeland	Continue	
	<i>Vacant</i> - specific AP representative	New Post	
	<i>Vacant</i>	New Post	
	<i>Vacant</i>	New Post	
NON - SCHOOLS MEMBERS (8)			
Roman Catholic Diocese	<i>Vacant</i>		
Church of England Diocese	<i>Vacant</i>		
Council for Mosques	<i>Vacant</i>		
Officer for Vulnerable Pupils	<i>Vacant</i>		
Trade Unions - Teaching	Ian Murch		
Trade Unions - Non-Teaching	Donna Willoughby		
Early Years PVI Providers	Vivienne Robinson		
Post 16 (High Needs) Providers	David Harwood		
OBSERVERS (2)			
Early Years Observer	<i>Vacant</i>		
EFA	To be named by the EFA		

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SCHOOLS FORUM AGENDA ITEM

For Action



For Information



Brief Description of Item (including the purpose / reason for presenting this for consideration by the Forum)

This report provides an update and asks Members to review the Forum's membership composition.

Date (s) of any Previous Discussion at the Forum

The Forum's Conduct of Meetings document and membership arrangements are subject to annual review. Members agreed arrangements for the 2017 calendar year at the meeting held on 21 September 2016.

Background / Context

Accompanying the changes in the national funding system, the Government revised the Schools Forum Regulations. These came into force on 1 October 2012. Although much of the detail on how Forums operate is still left for local decision, the revised Regulations required some significant changes, including publicly accessible meetings, for Forum papers to be published and for decisions to be taken on formula funding and on de-delegated DSG funds on a phase by phase basis. Non schools members are also not permitted to take part in decision making on formula funding.

Within good practice guidance, the DfE has stressed to authorities that it is essential that Forum membership arrangements keep pace with the changing landscape, in particular the conversion of maintained schools to academy status. The Forum must consider annually how best to provide for responsive arrangements, to ensure the Forum remains representative and to avoid any unintended bias towards any one phase, whilst continuing to ensure stability of membership.

A report was presented to the Schools Forum on 21 September (Document GF), which explained that the Schools Forum Regulations were not establish to cope with the volume and speed of transition of maintained schools to academies that is expected in Bradford over the coming months and which proposed an 'interim solution' for the academic year designed to secure effective Schools Forum membership over the critical DSG allocation period whilst also seeking to ensure that membership remains proportionate to the number of maintained schools and academies in the District. This interim solution was agreed.

There is still fluidity on the numbers of maintained schools and academies in the District. As reported in Document HN to this meeting, 39 maintained schools have converted to academy status between February 2016 and June 2017 and the Authority has immediate sight of around 30 schools, across all sectors (primary, secondary, special and alternative provision) that are planning to convert this financial year.

Details of the Item for Consideration

The following interim solution is in place as set out in September 2016:

- Continue existing arrangements for Non Schools Members.
- Continue existing arrangements for maintained nursery schools and maintained special schools memberships.
- Continue the maintained PRU membership. Specifically review this at the point that an academy alternative provision setting is established (the Regulations require memberships to be offered to both maintained and academy providers, meaning that we would have 2 alternative provision memberships).
- Remove the vacant maintained primary governor membership.
- Ask the current incumbents of maintained primary and secondary school memberships (headteachers and governors), whose schools transfer to academy status during the period, to continue on the Schools Forum as academy members at the point their status changes. These representatives would not take part in decisions concerning de-delegated funds if their status has changed before the 11 January 2017 meeting
- Retain all other incumbents of maintained primary and secondary (headteachers and governors) and academy memberships without change.
- Seek to recruit to the vacant maintained secondary headteacher membership (on a fixed term basis)
- Seek to recruit to the vacant maintained primary headteacher membership (on a fixed term basis).

Details of the Item for Consideration (continued)

Appendix 1 summarises the membership of the Schools Forum as well as setting out what the composition of the Forum should be based on an updated calculation of the numbers (and proportionate split) of Schools and Academy Members. Please note that this report focuses on setting the composition of the Forum (the number of posts) rather than the arrangements for renewal and refresh of incumbents, which is due.

Our calculation indicates that our Schools and Academy members' composition should alter as follows to take account of academy conversions in line with pupil numbers, based on continuing an overall total of 27 Schools and Academy representatives:

- Maintained Primary - 5 memberships (12 reduced to 7)
- Maintained Secondary - 1 memberships (reduced from 3 to 2)
- Academies +5 memberships (increased from 7 to 12)
- PRU +1 membership for an academy PRU (new post)

Therefore, of the 27 Schools and Academy members, 14 should be maintained schools and 13 academies.

The Authority proposes the following composition in order to work towards this re-alignment (the changes are summarised on the right hand side of Appendix 1).

- **Retain the total number of Schools and Academy Members at 27.**
- **Continue existing arrangements for maintained nursery schools (2 representatives – 1 headteacher 1 governor).**
- **Continue existing arrangements for maintained special schools (2 representatives – 1 headteacher 1 governor), but keeping this under review**
- **Continue the maintained PRU membership (1 headteacher). Specifically review this at the point that an academy alternative provision setting is established (the Regulations require memberships to be offered to both maintained and academy providers, meaning that we would have 2 alternative provision memberships).**
- **Reduce the number of maintained primary school headteacher members to 5 (from 8).**
- **Reduce the number of maintained primary school governor members to 2 (from 4).**
- **Reduce the number of maintained secondary school headteacher members to 1 (from 2).**
- **Continue the existing maintained secondary school governor membership.**
- **Increase the number of academy representatives to 13 (from 7), with one new post specifically ring-fenced to be allocated at the point the Authority has an alternative provision academy.**

If agreed, the Authority will take appropriate action to implement this composition based on the agreed established processes. Because interim arrangements have been in place, the majority of maintained memberships are due for renewal. Academy members may wish to review their processes for filling their memberships (it is for academies to decide how to fill these posts, unlike for maintained schools, where the Authority can direct).

The Authority is not proposing at this stage to alter the composition of non-schools members. It is anticipated that this will take place as a when direction comes from the DfE on Schools Forum composition, which is expected in the light of national funding formula and the changing role of Schools Forums.

How does this item support the achievement of the District's Education Priorities

The Schools Forum has a key part to play in the way that resources for education, through the DSG, are allocated. It is essential that the Forum is representative of all settings that will be affected its recommendations and decisions.

Implications for the Dedicated Schools Grant (DSG) (if any)

No direct implications

Recommendations

The Schools Forum is asked to consider the update provided and to review the proposed membership composition for 2017/18.

List of Supporting Appendices / Papers (where applicable)

Appendix 1 – Schools Forum Membership June 2017

Contact Officer (name, telephone number and email address)

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SCHOOLS FORUM AGENDA ITEM

For Action



For Information



Brief Description of Item

Members are asked to consider the recommendation from the Panel on the letter received by the Schools Forum from Oastler School.

Date (s) of any Previous Discussion at the Forum

The Schools Forum considered the initial submission of the letter from Oastler School at its meeting on 20 July 2016. The record of the Forum's recommendation at this meeting is set out below.

Background / Context

The letter received by Oastler School was considered initially by the Schools Forum on 20 July 2016. The minutes of the 20 July meeting record the following recommendations:

That a formal 'Panel' of Forum Members be established with the remit to discuss in detail the financial implications of academy conversions and requests for financial support from the DSG that may be made. That this Panel includes Members representing governors. That this Panel makes recommendations back to the full Schools Forum.

That the letter to the Schools Forum from the Chair of Governors at Oastler School be referred to this Panel. That the Chair of Governors be invited to the address the Panel to discuss the request. That the Panel's recommendation on financial support for the school's deficit budget be presented back to the Schools Forum.

At the same meeting, the Schools Forum also considered the recommendations from an informally convened Forum panel, which was asked to consider the criteria that could be established for the Forum's management of requests for financial support from individual schools wishing to convert to academy status where finance is a barrier. The Forum agreed the panel's recommended criteria, which are as follows:

- o That any decisions (about financial support from the DSG) must only be taken on a case by case basis.
- o That the implications for such decisions must be tested to their 'furthest point' i.e. whether a decision:
 - is equitable (would stand up to external challenge)
 - could set a dangerous future precedent, or
 - could be challenged because similar circumstances have previously been settled in a different way
- o Decisions must not actively open the door to claims from the general schools and academies estate (past, present and future). The likelihood then is that the exceptional nature of the circumstances that are being supported would need to be proved.
- o Decisions must not incentivise, and must not be perceived to incentivise, poor financial management or behaviour.
- o That 'unblocking' barriers does not simply mean allocating sums of money without recovery. The Authority / the Schools Forum have mechanisms in place and have previously taken decisions to avoid incurring additional cost to the DSG, for example, in using the licensed deficits framework so that deficits are repaid, in providing loans for capital works, in requiring contractual costs to be met from delegated budgets. This may mean that the DSG is used initially to provide financial assistance, but that the cost of this assistance is repaid over time.
- o That requests for financial support are subject to a rigorous process of scrutiny by a delegated panel of the Schools Forum.

The Forum's Panel, made up of 4 Forum members, met on 2 occasions with representatives from Oastler School, to discuss Oastler School's request for financial support from the DSG. These meetings were facilitated by the Business Advisor (Schools).

Oastler School held a deficit balance of £163,454 at 31 March 2017. It is this value of deficit that the Panel was requested to consider supporting from the DSG.

Financial support allocated from the DSG would be charged to the High Needs Block.

Details of the Item for Consideration

The full recommendation from the Panel is as follows. The Panel:

- Agrees that the school has faced a difficult financial position, that this position is 'exceptional'.
- Agrees that the evidence presented identifies the cause of the deficit to be the lower than planned occupancy between the period April 2014 and April 2015 and that this was the result of the Local Authority slowing down the admission of pupils as well as 'pausing' the transfer of pupils from Ellar Carr, meaning that the Local Authority moved away from its own opening plan (which was for the school to be at full occupancy by April 2014 at the latest); this is referenced in the following documents – Report of the Strategic Director for Children and Young People to the meeting of the Executive to be held on 23rd February 2010 and a number of sets of minutes of the School Specific Monitoring Group Meeting.
- Understands that the primary reason for this change was the significant issues the transfer of groups of vulnerable students into a new setting was causing. The Local Authority should have understood this difficulty in planning the opening of the school and therefore, should have set out a more incremental approach to its establishment.
- Agrees that the deficit is acting as a barrier to the forward development of the school within the District's strategic plan.
- Recommends therefore, that the Local Authority should take responsibility for the cost of writing off the school's deficit.

In considering this recommendation, Forum Members must be aware of the following:

- The Authority accepts that the opening plan for Oastler School was adjusted to 'slow down' the admission of students into the school. This was done in response to significant transition issues to ensure the successful and safe establishment of the school. The Authority has previously accepted that the behaviour strategy could have been clearer, and could have been communicated more clearly, over the period of the school's establishment.
- In recommending that 'the Local Authority should take responsibility for the cost', the Schools Forum does not have the power to spend against the Authority's base-budget. The Forum also does not have statutory authority over the spending of the High Needs Block. Regarding the High Needs Block, the Forum is a consultative body, with the Authority's Executive Committee being the decision maker. It is the role of the Schools Forum therefore, to decide its final recommendation to be presented to the Executive. The final decision will be the Executive's.
- Was a more incremental opening plan followed for the school, the cost to the DSG in post-opening financial support for the school would have been greater and extended for a longer period of time. An indicative model suggests that the actual cost to the DSG, including the write off of a £163,000 deficit, is £69,800 lower than the cost of an example incremental opening plan. This information will also be presented to the Executive.

Implications for the Dedicated Schools Grant (DSG) (if any)

Financial support at a value of £163,454 (the value of deficit held at 31 March 2017), where allocated from the DSG, would be charged to the High Needs Block.

Recommendations

Members are asked to consider the recommendation from the Panel on the letter received by the Schools Forum from Oastler School. The Schools Forum is asked to agree its recommendation on this matter for presentation to the Executive.

List of Supporting Appendices / Papers

None

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SCHOOLS FORUM AGENDA ITEM

For Action

For Information

Brief Description of Item (including the purpose / reason for presenting this for consideration by the Forum)

To provide an update on a number of matters related to the 2017/18 Dedicated Schools Grant.

Date (s) of any Previous Discussion at the Forum

The Schools Forum made its recommendations on the 2017/18 DSG across meetings held on 11 and 18 January 2017. The Forum received a DSG matters update at the last meeting 15 March 2017.

Background / Context

See the details for consideration below.

Details of the Item for Consideration

Short Updates on Various DSG Items (for Information)

An update will be provided verbally on the position of National Funding Formula review and implementation.

We have now received final confirmation on the 2017/18 DSG allocation for the High Needs Block. Our allocation is as expected. We still await further confirmation on the Early Years Block later in July. We have also completed the 2 key DSG exercises in preparation for National Funding Formula implementation a) re-baselining of the 3 DSG Blocks for our 2017/18 spending position (incorporating the transfer of funding from the Schools to the High Needs Block) and b) validation of the value of the Maintained Nursery School Supplement.

Review work is continuing, with the BACs Strategic Group and other representatives, for the implementation of the reduction from September 2017 in the direct High Needs Block funding for placements in alternative provisions for pupils without EHCPs. It is expected that the forecasted £100,520 saving to the High Needs Block will be achieved in 2017/18.

The development of the Authority's approach to SEND inclusion in Early Years (the specific Inclusion Fund) is incorporated into the wider proposals for SEND delivery reform. A separate report on these proposals is presented at today's meeting.

We have received the DfE's operational guidance related to the technical management of the extended 30 hours free entitlement to nursery provision for eligible parents. The Local Authority will need to revise its administrative process for the delivery of the Early Years Single Funding Formula in the light of this final guidance. Further information is set out later in the report.

The reconciliation of DSG one off monies, following the 2016/17 year end closedown, has been completed.

- A 'DSG reserve' figure of £1.754m was forecasted within the reports presented to the January 2017 meetings, after identified committed sums. Members are reminded that the £1.754m was however, held to finance some specific items, including £0.521m in support of the 2017/18 DSG allocation (under option 4). Members are also reminded that the £1.754m included the forecasted underspending of £0.70m in the DSG's earmarked 2 year old resources, Early Years Block on which the Forum still needs to take a view.
- Following the finalisation of accounts at 2016/17 year end, an additional £2.045m of uncommitted balances has been identified as potentially available for recycling back into the Schools Budget:
 - An additional un-ringfenced sum of £0.698m. This is primarily the result of the underspending against forecasted High Needs Block expenditure, due to interim places being established from March 2017 rather than January 2017 (a saving of 3 months £0.6m). The DSG reserve figure presented to the Schools Forum in the January 2017 meetings therefore, is increased from £1.754m to £2.452m.
 - Our current reconciliation identifies a further £1.35m of balances ring-fenced for the Early Years Block (£1.85m rather than the £0.5m estimated in the January reports). This is the result of differences in free entitlement numbers, further underspending of the earmarked 2 year old resources and an unspent sum of £0.45m in Early Years Pupil Premium, which is not available for general release, but which the EYWG will discuss. The position of ring-fenced sums within the Early Years Block will be confirmed following the finalisation of the 2016/17 DSG allocation from the DfE's publication in July 2017.

Details of the Item for Consideration

The Schools Forum will receive, as normal, an analysis of the forecasted position of DSG balances / one off monies at the end of the 2017/18 financial year in the autumn term. We are moving towards the ring-fencing of DSG monies (underspends and overspends) by DSG Block, rather than holding unallocated cross-Block reserves. We have already established the principle of the ring-fencing of the Early Years Block. This principle is likely to be extended to the Schools and High Needs Blocks, as well as to the new Central Schools Block when this is established.

A request was made at the last meeting for further information on the value of the lump sum charge to maintained schools this year relating to the West Yorkshire Pension Fund. In the report presented in March we stated that we anticipate the cost to schools in total will be roughly a third of the £145,000 total payment to be made by the Council. On our guidance for maintained schools on 2017-2020 budgets, we asked schools to estimate the cost of the lump sum at £1 per pupil.

Core Schools Budget – National Spending Levels

A request was made at the last Schools Forum meeting in March for an analysis of the funding streams that make up the Government's "£40bn" of spending on schools.

Although there are a number of currently sizeable additional grants that come into Bradford's schools and academies, including: Education Services Grant, Universal Infant Free School Meals, Early Years Free Entitlement funding, Early Years Pupil Premium, Year 7 Catch Up, PE and Sports Grant, Post 16 Grant, an analysis of the "£40bn" is quite simple, in that this only includes core DSG-sourced formula funding from the Schools and High Needs Blocks and Pupil Premium. The National Audit Office quotes the following figures for the size of the 'core school's budget':

- 2016/17 £40.214bn
- 2017/18 £40.953bn
- 2018/19 £41.745bn
- 2019/20 £42.605bn

Bradford's proportion of these national totals in 2017/18 is approximately 1.25% (£0.51bn). It is perhaps more insightful to consider what is not included in the "£40bn" than what is. The Authority will continue to monitor the position of additional grants as these are expected to change over the coming months under a new Government and will provide information to the Forum about these changes.

Early Years Block – Administration of the 30 Hours Extended Entitlement

The Technical Statement, which was agreed by the Schools Forum in December 2016, sets out the current administrative arrangements for Bradford District's Early Years Single Funding Formula. Paragraph C of this Statement explains how each setting is funded on the number of 3 and 4 year olds free entitlement hours recorded as delivered in a single census taken each term. The same basic method is also used to fund 2 year old free entitlement hours, though the Authority also operates a second census each term. The timetable at the back of the Statement sets out the dates of these censuses and how funding is currently adjusted during the year. Within the Technical Statement, and in updates to the Forum, the Authority has highlighted that the addition of the extended 30 hours entitlement for eligible 3 and 4 year olds means that it is likely that the administrative arrangements behind the Early Years Single Funding Formula will need to change.

Under the current 'single termly census' approach, every provider is funded on a single count each term and their funding is not adjusted to account for starters and leavers before and after the designated census date. This approach has both pros and cons; significant pros being simplicity and the reduced administration needed to operate it. However, providers can also be under or over funded for the number of free entitlement hours they have actually delivered in a given term depending on the extent of movement of their children.

It is the Authority's view, supported by the Early Years Working Group, that the limitations of the 'single termly census' approach will be amplified following the establishment of the extended 30 hours offer at September 2017. The requirement to check the eligibility of children for the extended 30 hours a minimum of 6 times a year, and to adjust funding on the basis of these checks, also means that we must be more precise in counting where children are for funding purposes. The Authority also recognises that, as the financial pressure within providers increases, it is imperative that the Early Years Single Formula funds all providers as accurately as possible for the number of hours they actually deliver. The Authority however, is also mindful about the need to minimise the administration involved in operating the Early Years Single Funding Formula, as far as it is possible to do so without undercutting effectiveness, and to ensure that arrangements are workable within the financial year calendar and the monthly payments system.

Details of the Item for Consideration

From these considerations, the Authority proposes to take steps to move from the 'single termly census' to a 'starters and leavers' based counting arrangement for all early years providers (Nursery schools, Nursery classes in Primary schools and academies and PVI providers), for both the 2 and 3 & 4 year old entitlements. A considerable amount of development work is needed to complete this transition and the Authority is conscious of the need to provide for stability in funding arrangements this year and lead in time for providers. The Authority does not believe that full transition to new arrangements can successfully take place during 2017/18. It is therefore, proposed in outline to work from September towards the full implementation of revised arrangements at April 2018. As such, full consultation on new arrangements in the longer term will take place as part of our wider consultation on the 2018/19 Early Years Single Funding Formula, which will take place in the autumn term. Specific guidance on the position for the autumn and spring terms will be provided.

The attached Appendix 1 attempts simply to set out the broad outline of what is proposed. The position of necessary systems developments is currently fluid, and therefore, the timing of implementation is somewhat fluid at this time, but the Appendix sets out what the Authority proposes from September 2017 where necessary development work has been completed. The Authority will continue to work with the Early Years Working Group on these proposals and the transition, including considering where contingency arrangements may need to be made for the autumn and spring terms. An update, and better confirmation of arrangements, will be presented to the Schools Forum in September. Members will note that the transition to a 'starters and leavers' approach is likely to be slower for nursery schools and primary schools / academies with nursery classes.

Implications for the Dedicated Schools Grant (DSG) (if any)

As set out in the report (this is an item for information)

Recommendations

The Schools Forum is asked to consider and to note the information provided in the report.

List of Supporting Appendices / Papers (where applicable)

Appendix 1 – Early Years Single Funding Formula Administration Transition

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Outline of Proposed Counting, Data Collection and Payment Arrangements September 2017 to March 2018

PVI Settings

- Providers will continue to be paid monthly. *The September 2017 – December 2017 monthly payments will be based on confirmed indicative budget figures, unless settings have submitted a completed Changes to Estimate Form. The September 2017 to December 2017 payments will be adjusted to reflect the confirmed summer term numbers. The January 2018 – March 2018 monthly payments will be adjusted to reflect the confirmed autumn term numbers. This should enable providers to better understand the basis of their payments (rather than referencing back to confirmed indicative budgets, which may be out of date).*
- Beginning September 2017, subject to the completion of necessary systems development, we intend to move to a 'starters and leavers' based counting arrangement for all free entitlement provisions delivered in the PVI sector – 2 year old, universal and extended 3 and 4 year old entitlements i.e. settings will be funded on the actual hours they have delivered rather than on a single headcount once a term. *For autumn 2017 and spring 2018 however, whilst calculating funding on the basis of 'starters and leavers', we will ensure that no PVI setting receives a lower level of funding than they would have received had we continued to operate the single termly count approach i.e. we will run the new and old approaches alongside each other and will fund the maximum of these. At April 2018 however, we anticipate fully moving to the starters and leavers based approach.*
- Under this new approach, starters and leavers data, and other necessary information including 30 hours eligibility codes, will be collected monthly by settings inputting their child-level data on the Provider Gateway. The Provider Gateway will close at the end of each month to enable the Authority to pull the data together for that month. It will then re-open for the next month and the process begins again. It will be essential therefore, that settings keep their data on the Gateway up to date.
- When the new approach is fully implemented, which we anticipate will be at April 2018, we expect that the Authority will re-calculate payments for each setting monthly so that, basically, settings are funded monthly in arrears e.g. for April 2018 – an initial payment is made to each PVI setting based on the spring term 2018 position. PVI providers will enter their hours information onto the Provider Gateway up to the point the Gateway closes on 30 April. The Authority will then calculate the May payment as follows: April actual hours delivered + / - an adjustment for any over or under payment in April. This process will be repeated each month.
- This is an outline of the anticipated process that needs further consideration and refinement. The timing of transition to this new approach between September 2017 and April 2018 is also subject to the completion of necessary systems development. We do not believe at this time that we will have everything in place to implement this new system fully successfully before April 2018. Therefore, for the autumn 2017 and spring 2018 terms, where the systems development is complete, we propose to still to begin to collect starters and leavers information on a monthly basis through the Gateway, as set out above, but to re-calculate payments to providers for actual hours delivered only at the end of each term rather than adjusting payments monthly. This will enable us to learn from the pitfalls in the proposed approach and for providers to become comfortable with the monthly data collection before beginning to re-calculate payments a month in arrears from April 2018. As now, during this transition period, settings will be able to request that their payments are adjusted in real time where they anticipate significant differences from the estimated position. **If the necessary systems development is not completed in time for us to implement the starters and leavers approach at September 2017, we will need to consider again our arrangements for the autumn term.**

- 2018/19 Early Years Single Funding Formula arrangements (in terms of how the EYSFF works and the values of rates for settings) will be confirmed following consultation in the autumn term. In seeking to simplify the information that settings must assess, we propose not to publish hard copy confirmed indicative budgets for the PVI sector for 2018/19. Instead, the Ready Reckoner will enable settings to calculate their own funding based on their latest data on child numbers. We propose to begin to pay monies to providers in April 2018 on the basis of the confirmed spring term position, rather than on a printed confirmed indicative budget. The May payment will then be based on confirmed April + / - an adjustment and so on.

Schools and Classes

- It is a requirement that the basis of counting early years numbers is consistent across all early years providers. It is our view that the limitations of the current 'single termly census' approach will be amplified following the establishment of the extended 30 hours offer at September 2017. The requirement to check the eligibility of children for the extended 30 hours a minimum of 6 times a year, and to adjust funding on the basis of these checks, also means that we must be more precise in counting where children are for funding purposes. Simply, we take the view that all early years providers, including schools and classes, must be funded on a starters and leavers approach and we must seek to implement this as quickly as possible.
- Our expectation is that, from April 2018, the monthly process set out above for PVI settings will also apply for nursery schools and classes. However, we recognise that most schools and classes are not currently familiar with the Provider Gateway (used only for 2 year old entitlement data) and the move to monthly counting will require support and lead in time. We are also currently exploring the possibility of using the information that schools already have within their SIMS systems as an alternative to an additional data collection via the Gateway. However, in the absence of a SIMS solution, schools and classes will be required to submit monthly numbers information through the Provider Gateway in order for the monthly system to operate.
- For the period September 2017 – March 2018, we propose to continue to fund delivery of the universal 3 and 4 year old entitlement on the basis of the single termly census, as now, but, subject to necessary systems development, to ask schools that deliver the extended 30 hours entitlement, as well as the 2 year old entitlement, to submit their information separately to the Authority using the Gateway on a monthly basis. These schools will then be funded on a starters and leavers basis for their delivery of both the 2 year old entitlement and the extended 30 hours entitlement. The current monthly advances timetable will remain in place.
- The full move to starters and leavers for schools and classes for all entitlements will continue to be discussed and developed with the Early Years Working Group.

Business Case

SUBJECT: Proposals for SEND Transformation 0-25

Our Ambition - Improve outcomes and life chances for all SEND children and young people in Bradford.

Current context:

- We have a growing population of children and young people in Bradford and proportionally have a growing population of children and young people with SEND;
- The complexity of special needs in Bradford is increasing - as a result there is a need for more specialist places.
- Bradford is a highly inclusive local authority; only 1% of our school population are in Special Schools.
- Increasing the number of specialist places for SEND alongside a predicted population growth will still only result in around 1% of SEND pupils attending specialist provision.
- We are working in a challenging and changing landscape both financially and educationally.
- With this comes the opportunity to transform the way in specialist provision and support for SEND are delivered in Bradford – intervening early to reduce costly intervention later in the life of a child or young person.
- The proposed model will continue to make a range of specialist services available across the district for CYPP with SEND.

The proposed model:

Based on the evidence base and findings of the SEND Strategic Review in Bradford 2016

0-25 Years SEND Pathway



Vision

The vision for the transformation of SEND services in Bradford District is underpinned by these principles and aligned to the priorities in the Bradford Children, Young People and Families Plan 2016-20 particularly Great start in life and good schools; Better skills, good jobs and a growing economy; Better health, better lives.

- Improving outcomes for children and young people with SEND these include accelerating educational attainment and achievement and closing the gaps with their peers nationally; improving their emotional well-being, independence and resilience; making sure they are safeguarded; improving their employment and training opportunities and that they are well prepared for work; have greater access to a range of opportunities and making sure children and young people with SEND flourish and achieve their full potential.

To do this we need to:

- Ensure there is early identification, early assessment and early intervention for children with SEND
- Build responsive services, with a more personalised offer
- Increase high quality places to meet a growing need for SEND
- To make the most effective use of the outstanding practice and provision across the Bradford District
- Ensure there are effective transitions from home into provision and into schools
- Ensure continued use of our specialist knowledge, skills and expertise in meeting the needs of children and young people with SEND
- Build capacity and expertise within SEND across the District and further develop Bradford's sector led model
- Ensure accessibility of SEND support and provision and support parental choice and aspirations
- Intervene early to prevent expensive out of authority placements for children and young people with SEND and to ensure efficient use of resources and value for money. Currently Bradford spends around £4.5m per annum on out of authority placements for children and young people with SEND.

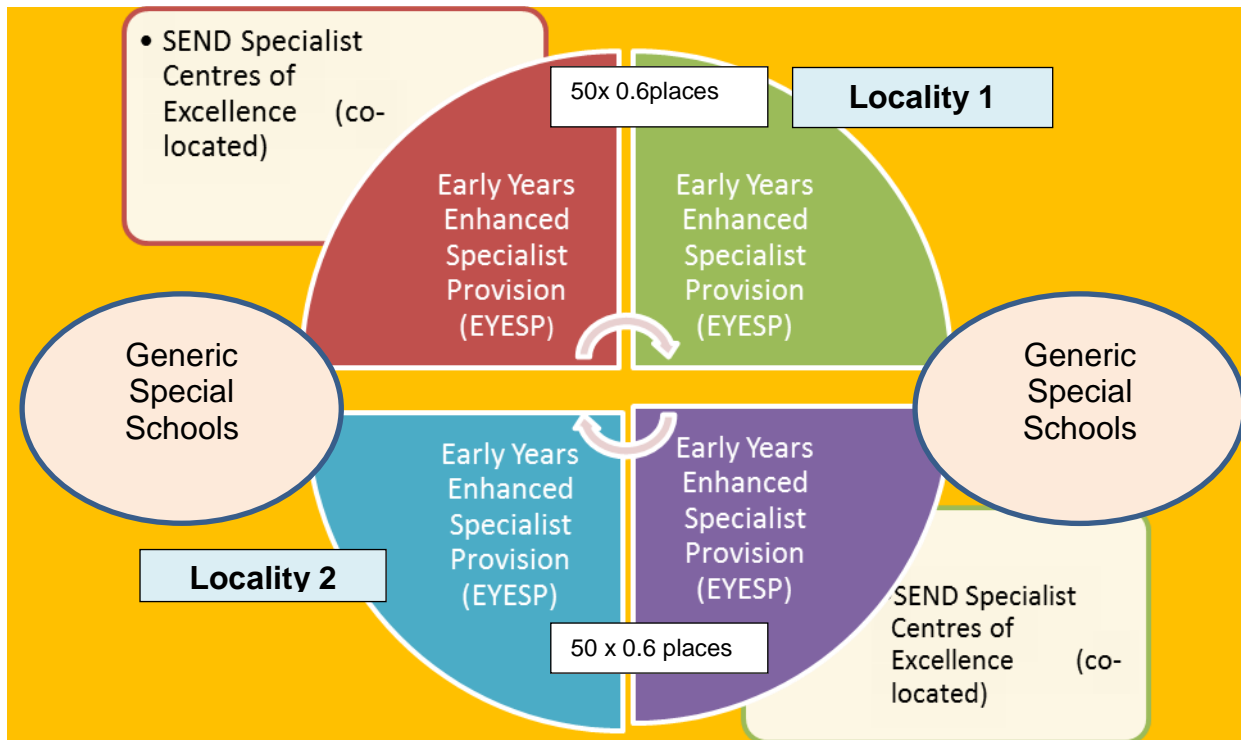
0-5+ SEND Pathway

The 0-5+ Pathway has been designed to realise the principles stated above within the 'Vision' and in response to the rising number of requests for assessment and specialist placements for early years children with identified SEND. The table below shows the percentage of the total number of referrals for children aged 0-7 years. In December 2016 referrals for this age group constituted 51.9% of referrals for the month and overall 45.5% of all referrals received since September 2015.

Analysis of Early Years Referrals for assessment for an Education, Health and Care Plan (EHCP)

	Referrals for children aged 0-7	Total number of referrals	% for children aged 0-7
Sep-15	11	27	40.7%
Oct-15	28	58	48.3%
Nov-15	22	55	40.0%
Dec-15	24	47	51.1%
Jan-16	33	59	55.9%
Feb-16	26	67	38.8%
Mar-16	33	94	35.1%
Apr-16	35	72	48.6%
May-16	46	79	58.2%
Jun-16	41	86	47.7%
Jul-16	38	102	37.3%
Aug-16	19	30	63.3%
Sep-16	32	70	45.7%
Oct-16	25	67	37.3%
Nov-16	25	62	40.3%
Dec-16	42	81	51.9%
Total number of referrals	480	1056	45.5%

The District wide Model for 0-5+ SEND pathway



It is intended that the district will be divided into two localities each providing 50 x 0.6 early year's specialist places alongside mainstream places for young children.

Each locality will contain two Early Years Enhanced Specialist Provisions (EYESP) which will provide integrated early education for mainstream and SEND young children on the same site; co-located with one of the EYESP in each locality will be a SEND Specialist Centre of Excellence.

The SEND Specialist Centres of Excellence will comprise a range of SEND specialist practitioners, for example specialist teachers of autism, cognition and learning and behaviour; family support workers, portage home visitors, who will provide consultation, support, training and outreach work for all SEND early years children across all types of early years settings within the locality in addition to those accessing the EYESP.

The SEND Specialist Centres of Excellence will also provide training for settings and schools across each locality to build their capacity and expertise with young children with SEND.

The Location

There has been considerable analysis undertaken to assess the optimal location of the provisions. Part of this work has been considering the incidence of need, the availability of suitable accommodation and any financial implications.

There are currently three Nursery Schools across the District already providing integrated early years SEND and mainstream places within high quality provision which has been judged by Ofsted to be good (1) and outstanding (2). These are:

- Strong Close Nursery School (BD21)
- St. Edmunds Nursery School (BD8)
- Canterbury Nursery School (BD5)

Our SEND Data for all year groups shows that the areas within the District with the **highest areas** of SEND need are:

Highest areas of SEND by ward (for high incidence SEND)

Top 3 wards	Autistic Spectrum Disorder (ASD)	Severe Learning Difficulties (SLD)	Social Emotional Mental Health (SEMH) NB. See BESD below.
1	Keighley Central	Toller	Tong
2	Great Horton and Keighley East	Bowling and Barkerend	Keighley West
3	Keighley West	Manningham	Wyke

See Attached Map for the Wards with the highest number of EHCPs across all types of SEND.

Ward analysis of Education and Health Care Plans (EHCPs)

	ASD	BESD	HI	MLD	MSI	NYA	PD	PMLD	SLCN	SpLD	SLD	VI	Total
Baildon	13	7	1	2	0	0	5	1	1	1	3	1	35
Bingley	21	7	1	0	1	0	8	3	4	0	7	0	52
Bingley Rural	21	8	1	1	0	0	9	5	2	0	22	2	71
Bolton & Undercliffe	26	11	1	2	1	0	6	7	5	1	11	0	71
Bowling & Barkerend	26	9	6	4	0	0	19	9	8	0	34	3	118
Bradford Moor	23	14	13	7	1	0	20	11	10	0	28	3	130
City	10	4	2	1	0	2	9	6	2	0	21	4	61
Clayton & Fairweather Green	13	17	3	2	0	0	8	3	8	0	25	5	84
Craven	26	9	1	4	0	0	4	0	4	0	6	0	54
Eccleshill	24	22	1	3	0	0	2	4	7	0	8	0	71
Great Horton	34	19	4	3	0	1	12	15	13	0	30	4	135
Heaton	27	12	2	5	0	0	8	4	7	1	27	8	101
Idle & Thackley	12	13	0	3	0	0	1	2	3	1	6	1	42
Ilkley	17	3	0	4	1	0	10	2	5	0	4	1	47
Keighley Central	36	14	12	7	0	1	24	13	9	0	25	6	147
Keighley East	34	15	1	4	0	0	9	6	4	1	16	1	91
Keighley West	29	24	5	8	0	0	14	4	4	1	15	1	105
Little Horton	24	15	5	2	0	0	14	9	9	0	21	5	104
Manningham	16	6	9	5	2	0	14	6	5	0	33	4	100
Queensbury	19	5	1	1	0	0	4	2	3	0	5	1	41
Roads	17	17	3	3	0	0	6	3	5	0	14	1	69
Shipley	14	16	0	0	0	0	3	0	7	1	14	3	58
Thornton & Allerton	28	16	1	0	0	2	10	4	6	0	19	5	91
Toller	22	11	17	3	0	2	11	12	7	0	51	1	137
Tong	19	41	0	7	0	0	11	4	16	0	20	2	120
Wharfedale	13	3	0	2	0	0	4	0	2	1	4	0	29
Wibsey	20	15	2	2	0	0	10	1	4	0	17	1	72
Windhill & Wrose	19	17	0	0	0	1	5	1	1	0	6	1	51
Worth Valley	24	16	0	1	0	1	4	1	7	0	7	0	61
Wyke	10	23	0	3	0	3	14	1	8	0	14	0	76
Total	637	409	92	89	6	13	278	139	176	8	513	64	2424

The SEND data reinforces that the three current Nursery schools providing the integrated mainstream and SEND provision detailed above are located in geographically accessible areas to serve the highest areas of SEND across the Bradford District. The location for the fourth EYESP has now been agreed after an expressions of interest process and panel evaluation – this is Abbey Green Nursery School.

Draft proposals for the 0-5+ pathway are:

- To increase the number of assessment and specialist places for young children 0-5+ years with SEND across the district to 100 x 0.6 places in total, 50 in each locality.
- By rationalising the current CC+ places (which were based on seven centres) into four enhanced centres (Early Years Enhanced Specialist Provision EYESP).
- The places in the EYESP for any children aged 5+ would be provided through a formal off-setting agreement for those with EHCPs.
- These places, totalling 100 across the district, will be created in addition to places for Early Years children available in our Special Schools.
- Work with our partners in the special schools and the LA specialist staff to further develop the skills and capacity of the EYESPs to deliver high quality care and early education for young children with more complex SEND.
- Establish two SEND Specialist Centres of Excellence (for children 0-5+ years with SEND) co-located within two of these four provisions. Each Centre of Excellence will be partnered with the other EYESP in the 'locality' area to serve young children with SEND within their 'reach' area.
- The SEND Specialist Team attached to each Centre of Excellence will provide outreach training, support, consultancy and home teaching/services across the locality to educational settings e.g. nursery classes in schools, PVI's and child-minders to build capacity in each locality.
- The SEND Specialist Team will consist of SEND Leaders and Managers, Portage, Specialist Teachers, Education Psychologists, Family Support, Access and Inclusion Practitioners, Business, finance and data support and administration. The compliment of staff will provide transitional support from Portage (Home Teaching) into schools and transition from EYESP provision into both mainstream and special schools.
- The 0-5+ Model will ensure that places for young children with SEND meet more local needs and resources are deployed efficiently. Transport will be costed into the hub model but will only be offered on a case by case basis following an individual assessment as we need to ensure that places offered within the hubs are filled so we do not fund empty places.

The model will be phased in over the next year, commencing with increasing placements in the EYESPs and will be fully operational from 1 April 2018.

Phase 1

Extensive informal discussions have begun and consultation with a number of partners to look at the viability of the proposals, model of delivery, level of demand for places, financial model and sustainability, legal implications, site location and premises. Formal consultation with partners, stakeholders, children, and their families to commence end of June 2017.

Phase 2

From April/May 2017 there will be an increase in the number of young children with SEND accessing specialist and assessment places in the EYESP.

Phase 3

The LA to undertake a review and restructure of the centrally employed teaching support services and SEND teams; and out of this review will be the creation of two specialist SEND teams in the SEND Specialist Centres of Excellence which will be co-located within two of the EYESP's. The SEND central assessment team will be largely centrally located to support the two localities with their statutory duties.

Phase 4

By 1st April 2018 the Early Intervention SEND Specialist Centres of Excellence and the EYESPs will be offering provision, placement, specialist support and training for providers for young children with SEND within their identified localities.

Background

The trend over time shows that overall there has been an increased under-occupancy of the early assessment places (Children's Centre + places) for young children with SEND. By July 2016 only 47% of the funded early assessment places for young children were occupied and some young children are also taking up places at our primary Special Schools. Irrespective of whether places are filled, staff are centrally employed to service these places and this is paid for from the High Needs Block. Schools Forum requested a review of Teaching Specialist Services to look at redesigning services for the future and this was in consultation with Stakeholders.

The way in which parents have chosen to access support and provision for their children with SEND has changed over the last 2 – 3 years, more parents have chosen an early years place in a primary special school, and due to changes in the transport policy parents are also choosing mainstream early years places at a school or a PVI setting. Our evidence shows that our SEND population is becoming increasingly more complex and some parents have chosen not to have group based provision but to have home teaching from the Portage service.

Other considerations

- In a letter from the DfE to Directors of Children's Services dated 31 January 2017 the (former) Director of Early Years and childcare – Helen Stephenson, emphasised that Local Authorities need to *'make full use of their nursery schools, not only helping them to support the social mobility of disadvantaged communities but also giving them a wider role in the leadership of the Early Years system ...this makes very good use of nursery schools pedagogical expertise and experience, and if you do not already use your nursery schools in this way, I would encourage you to do so.'*

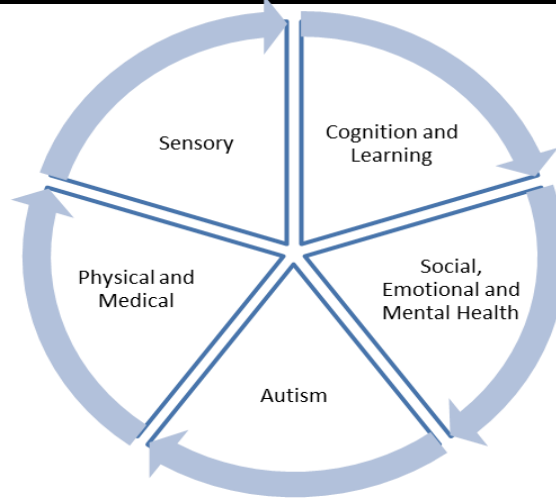
Therefore, consideration has been given to how the LA might be able to support the continued viability of Nursery schools in Bradford. The 0-5+ Model would result in the re-designation of some nursery school provision to specialist Early Years SEND provision. The LA will be working with our nursery schools and governing bodies to identify the most appropriate sites for the SEND Specialist Centres of Excellence and the enhanced provisions (EYESP).

- To ensure that places are filled this model will need to provide some support to the most vulnerable families with transportation.
- A further issue is the use and allocation of the Early Years Inclusion Grant which has been extended to 3 and 4 years olds in schools and not just PVIs. This will undoubtedly increase the number of requests for this additional grant funding to include young children in schools. We propose that this funding will be allocated to each of the two Early Intervention SEND Specialist Centres of Excellence who will be responsible for allocating this based on local demand and need.
- We need to ensure we have better collaboration with special schools, nursery schools, primary schools, the specialist hubs and the EYESP in order to offer greater choices to parents and better transition for young children.
- This model is intended to replace the current children's centre + places and will impact on future funding of places within two of the existing children's centres – these are at Barkerend and Woodroyd Children's centres with an allocation of 16 places each; in July 2016 these were 50% occupied.

Financial, HR, Communications issues (including value for money)

Substantial savings must be made from the High Needs Block and the implementation of the 0-7 model within the 0- 25 SEND Pathway will generate savings of approximately £660k in 2018-19.

5-16 year-olds - An Integrated Specialist Teaching Support Service (Traded)



Currently the Specialist Teaching Support Teams are funded from the High Needs Block. Under the SEND transformation the service will be fully traded and schools will sign a service level agreement to access flexible support based on their needs. Schools can use their delegated school funding to pay for support.

For pupils without an Education Health and Care Plan (EHCP) schools get:

- **Element 1 funding:** around £4k per pupil

For pupils who are on the SEND register at School Support the school get:

- **Element 1 + Element 2 funding:** £4k + £6k= £10k

For pupils with an EHCP school get:

- **Element 1 + Element 2 + Top up:** £4k + £6k + top-up (starting at £990 up to around £7,500 per annum)

The LA are currently reviewing the funding model to explore the possibility of schools applying for funding earlier.

16-25 year-olds – Supported transition

This team continues to be core funded and:

- Offers specialist information, advice and guidance to young people and their parents/carers on post 16 educational, training, employment and Preparing for Adulthood options
- Contributes to the assessment process and production of statutory Education, Health and Care Plans
- Supports young people to make successful transitions into adulthood in line with the national Preparing for Adulthood agenda and the SEND Code of Practice.
- Contract management of FE college/training provision and funding arrangements for about 350 young people with statutory Education, Health and Care Plans (i.e. attending non-school post 16 education and/or training provision)

NB. This team is not currently subject to any restructure.

References:

- Bradford Council Plan 2016 - 2020 – A Great Start and Good Schools for all our Children.
- Bradford Children, Young People and Families Plan 2016-2020
- The Education Covenant 2017-2020
- Childrens' Services 'imperatives' 2017 – 2018
- The Children and Families Act 2014
- The Equality Act 2010
- The Parliamentary Inquiry into Childcare for Disabled Children July 2014
- Statutory Guidance Directors of Children's Services: Roles and Responsibilities 2013
- SEN Code of Practice

Glossary

SEND	Special Educational Needs and Disabilities
HNB	High Needs Block - this is funded through the Dedicated Schools Grant (DSG)
EHCP	Education and Health Care Plans
EYESP	Early Years Enhanced Specialist Provision
ASD	Autistic Spectrum Disorder
BESD	Behaviour Emotional Social Difficulties
SEMH	Social Emotional Mental Health
HI	Hearing Impairment
MLD	Moderate Learning Difficulties
MSI	Multi Sensory Impairment
NYA	Not Yet Assessed
PD	Physical Difficulties
PMLD	Profound and Multiple Learning Difficulties
SLCN	Speech Language Communication Needs
SpLD	Specific Learning Difficulties
SLD	Severe Learning Difficulty
VI	Visual Impairment
CC+	Children's Centre + places (Early Years Assessment Places)
PVIs	Private, Voluntary, Independent settings

Proposed staffing model for the Specialist Centres of Excellence 0-5+ pathway

Present Posts and grades	Proposed Posts in The Specialist Centres of Excellence	Proposed Posts in the Integrated Specialist Teaching Support Service	Proposed headcount change	Current vacancies
Managers <ul style="list-style-type: none"> 0-7 SEND Inclusion Manager 1.0 FTE; Head of Early Years Intervention Team – x1.0 FTE; SEN Teaching Support Services Head of Communication and Learning x 0.8 FTE; Head of BESD Team x1.0 FTE 	0	0	-3.8	1
None	New posts - Head of SEND Specialist Centres of Excellence x 2 FTE	New post – Head of ISTSS x1 FTE	+3	NA
Middle Managers <ul style="list-style-type: none"> Head of Cognition and Learning x1 FTE Assistant Head BESD x1.0 FTE Autism Team Manager x 0.8 	0 0 0	0 0 0	-2.8	0.8
None	New Posts - 2 Deputy Head of Centre of Excellence/ Senior Specialist Teacher one in each Centre of Excellence X2 FTE	New posts Two Assistant Head of ISTSS x 2 FTE	+4	NA

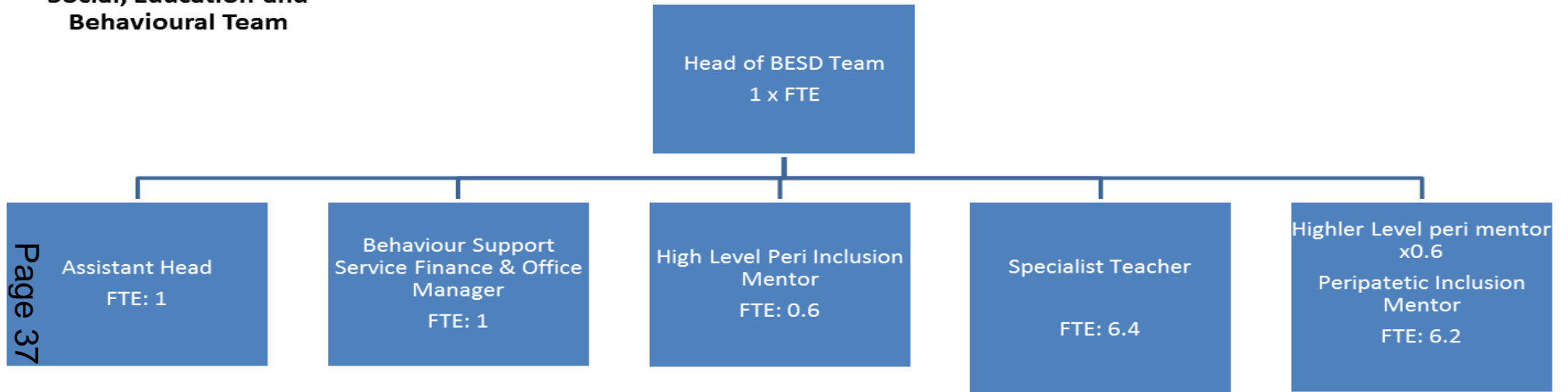
Present Posts and grades	Proposed Posts in The Specialist Centres of Excellence	Proposed Posts in the Integrated Specialist Teaching Support Service	Proposed headcount change	Current vacancies
<p>Specialist Teachers:</p> <ul style="list-style-type: none"> • Early Years specialist teachers x5 FTE • SEBD specialist teachers x 6.4 FTE • Specialist teacher (CC+) 1x 0.6 • Communication and learning specialist teachers x 6 (3x 1.0 FTE, 1 x 0.6, 2 x 0.8) (Total =5.2) • Cognition and learning specialist teachers x12 (3x 1.0 FTE; 3 x 0.8, 6x 0.6) (Total = 9.0) • Physical and medical specialist teachers x5 2.0; 2x 0.8; 1x 0.5 FTE (Total =4.1) <p>Grand total= 30.3</p>	<p>Specialist Teachers – total number to service 2 localities FTE – x7.0 to include the following areas of expertise:</p> <p>Cognition and Learning</p> <p>SEMH</p> <p>Autism</p> <p>Physical and Medical</p> <p>Early Years</p> <p>Total x 7 FTE</p>	<p>Specialist Teachers with the following specialist skills and expertise:</p> <p>Cognition and Learning x4FTE</p> <p>SEMH x4FTE</p> <p>Autism x4FTE</p> <p>Physical and Medical x 2 FTE</p> <p>Total x 14.0 FTE</p>	<p>-9.3</p>	<p>0</p>
<ul style="list-style-type: none"> • CC+ Teacher 1.9 FTE; 	<p>0</p>	<p>0</p>	<p>-1.9</p>	<p>0.90 (0.4 and 0.5)</p>
<p>Specialist Practitioners</p> <ul style="list-style-type: none"> • Specialist practitioners (Communication and Learning) x 4.4 FTE • Specialist Early Years practitioner x1 FTE; • Early Years practitioners X 8 (of which 2 x 1.0 full time; 1 x 0.87 FTE, 5 x 0.5.) Total =5.37 • CC+ Early Years practitioners x 3 (of which 1x 1.0 Full time; 1 x 0.81 FTE; 1x 0.5 FTE) (Total =2.3) • CC+ practitioners x 3 (of which 1x 1.0 Full time; 2x 0.5 FTE) <p>Total = 16.0 * FTE</p>	<p>Early Years Specialist Practitioners 4.0 x FTE</p>	<p>0</p>	<p>-12.0</p>	<p>0.4 0.5</p>

Present Posts and grades	Proposed Posts in The Specialist Centres of Excellence	Proposed Posts in the Integrated Specialist Teaching Support Service	Proposed headcount change	Current vacancies
None	New posts 2 Senior Specialist Practitioners 2 x FTE	0	+2	0
Inclusion Mentors <ul style="list-style-type: none"> Higher Level Peripatetic Inclusion Mentor x 0.6 Peripatetic Inclusion Mentors BESD x 6.2 FTE Peripatetic Inclusion Mentors Communication & Language 2x 0.8 FTE Total = 8.4	0	0	- 8.4	0.8
None	0	New posts 10x FTE Peripatetic Specialist Practitioners	+10.0	
Portage <ul style="list-style-type: none"> Portage co-ordinator x 1 FTE; Senior Portage home visitor (30 hours TTO) = 0.8 FTE Home visitors x 3 full time; and 2 x TTO 30 hours = 0.8 FTE (1.6 FTE) 2x 18 hours TTO = 0.48 (0.96 FTE) Total = 7.4* rounded	0 2 Portage Home Visitors x 4FTE	0	-1.0 +1.2 -1.6	0.48
<ul style="list-style-type: none"> Equality and Access Officers x 6 .5 FTE 	0	0	-6.5	1.5
<ul style="list-style-type: none"> Inclusion Officer x 1 x 0.5 FTE 	0	0	-0.5	0
None	New posts Access and Inclusion Officers x4 FTE	0	+4	NA
<ul style="list-style-type: none"> Nursery Nurses x 2 (of which 1 x 0.87; 1 x 0.43 FTE) Total = 1.3 FTE	0	0	-1.3	0

Present Posts and grades	Proposed Posts and grades	Proposed Posts in the Integrated Specialist Teaching Support Service	Proposed headcount change	Current vacancies
None	New posts - SEND Family Support Workers x4	0	+4	NA
Business, finance, data <ul style="list-style-type: none"> Business Manager x 0.5 FTE; Finance and Office Manager x 1.0 FTE 	Business/Finance/Data lead Officer x 2	Business/Finance/Data Lead x 1 FTE	+1.5	0
Administration <ul style="list-style-type: none"> SEND Early Years Intervention Team - Admin Officers x2 (2 x 0.5 FTE) Total = 1.0 FTE Admin assistants 2 x 1.0 FTE 	Admin Officers x 2 FTE Admin assistants x 2 FTE	Admin Officer x1 FTE Admin Assistant FTE x1.0	+2.0 +1.0	admin assistant 1.0
Total: 83.4 FTE	Total: 37 FTE	Total : 30 FTE	Total: - 16.4 FTE	7.4*

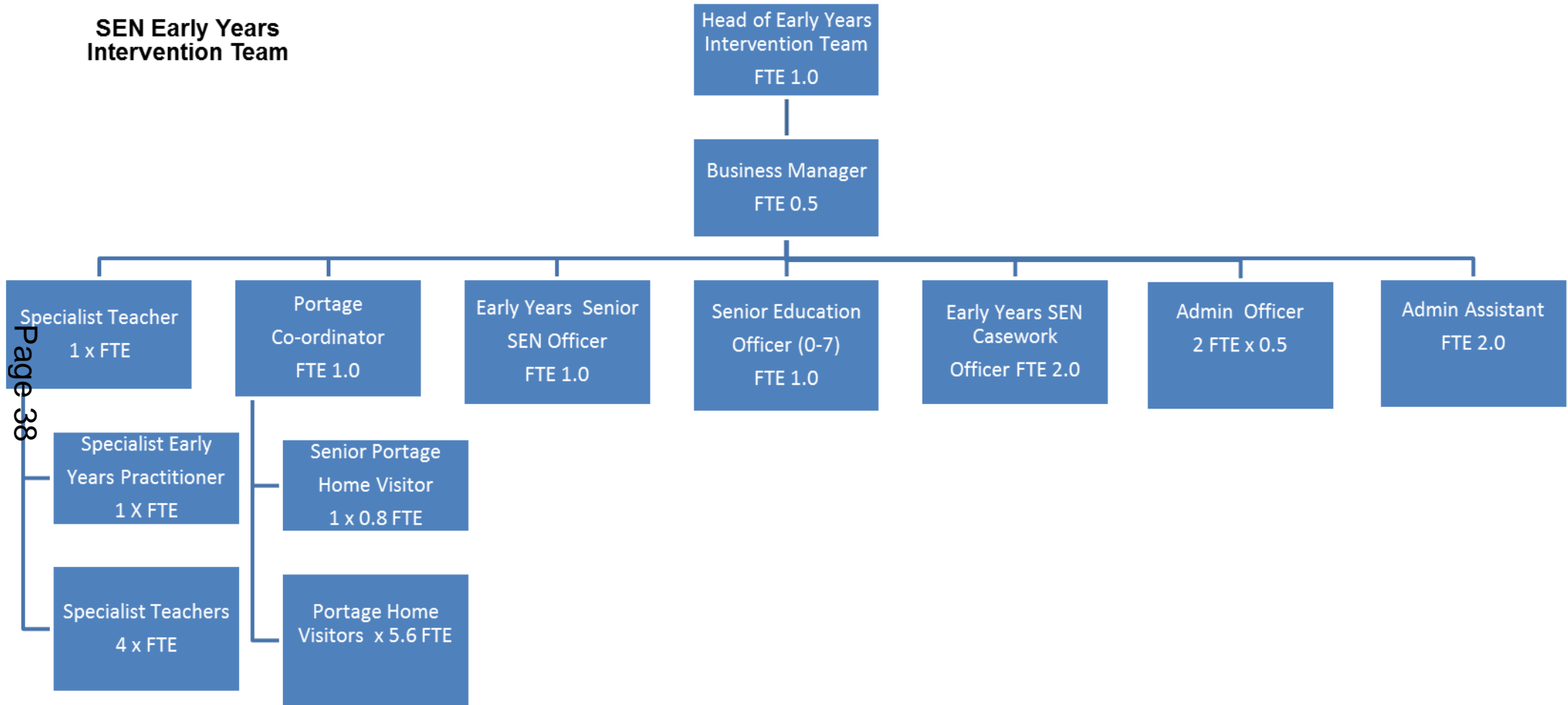
Note Rounding *

Social, Education and Behavioural Team

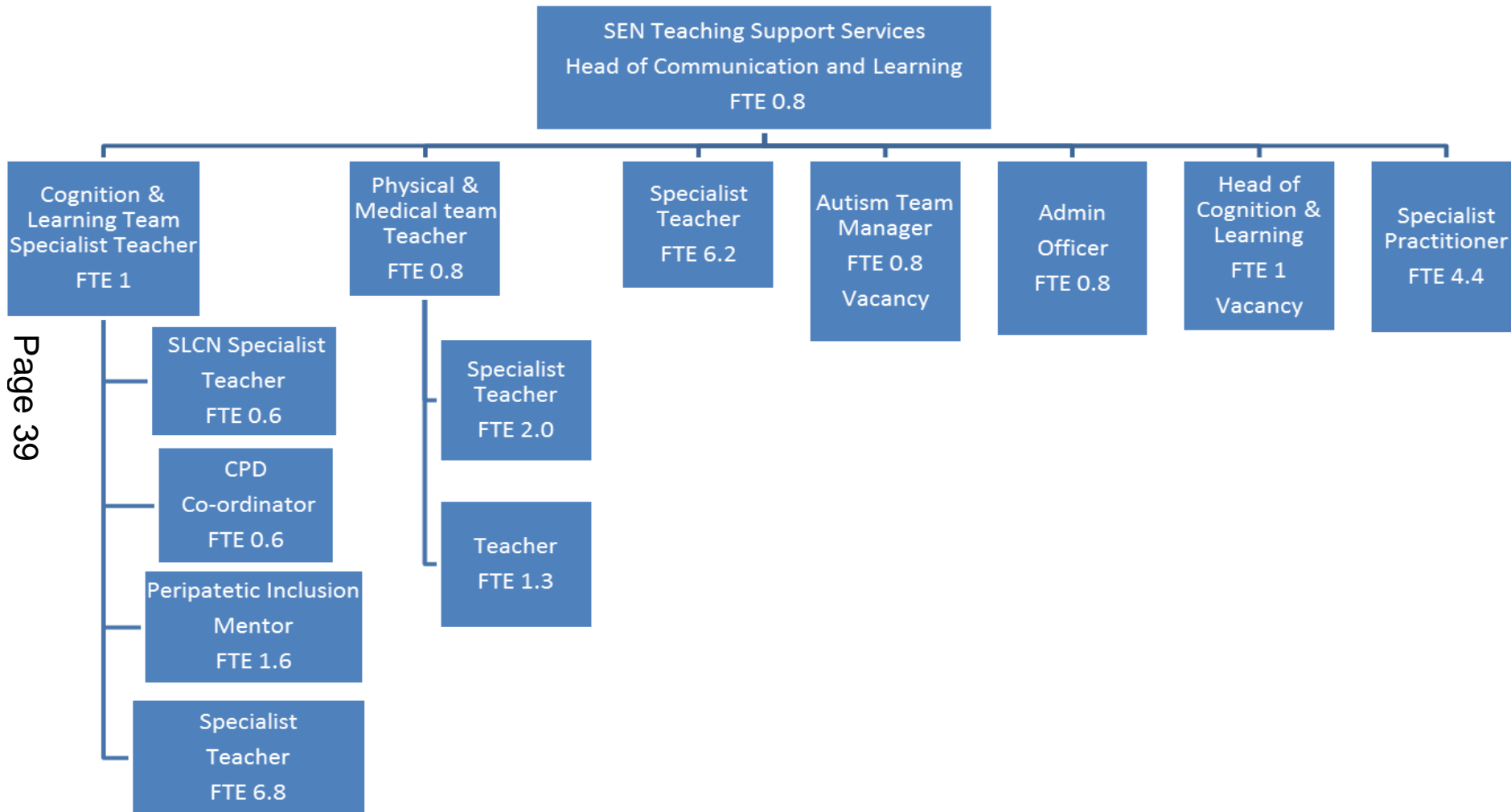


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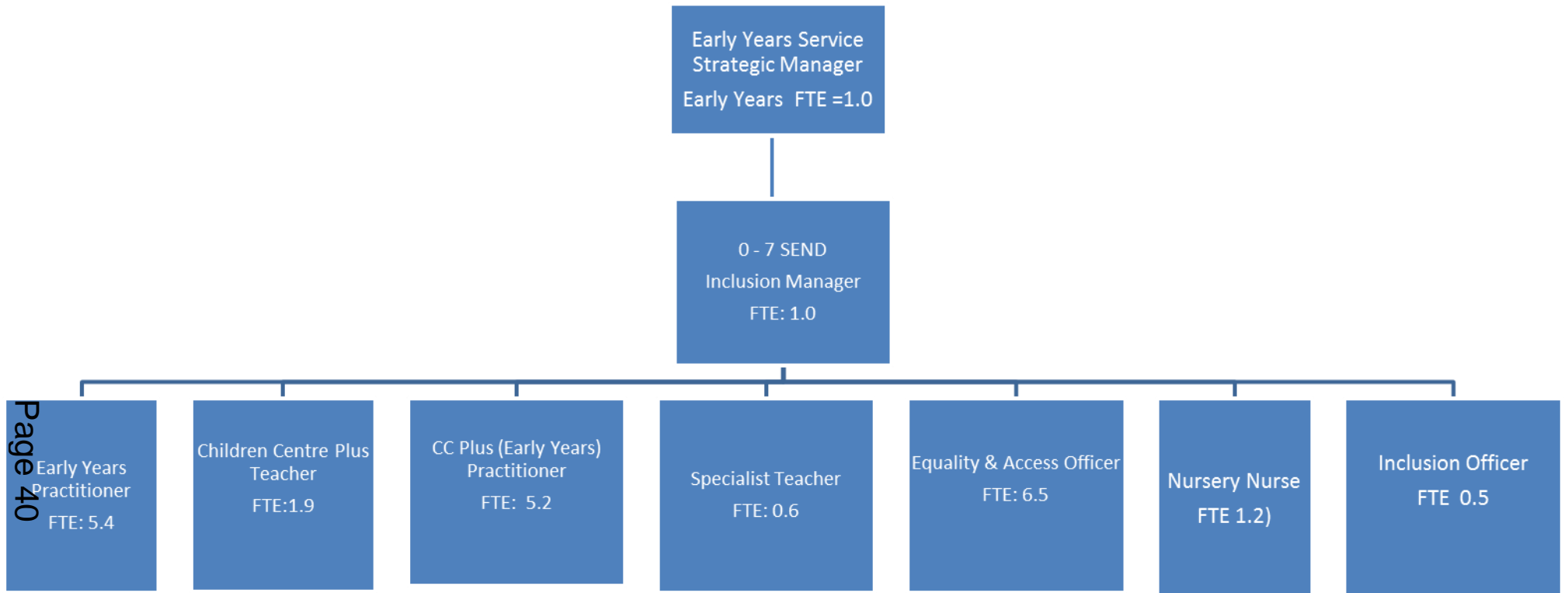
SEN Early Years Intervention Team



SEN Teaching Support Services

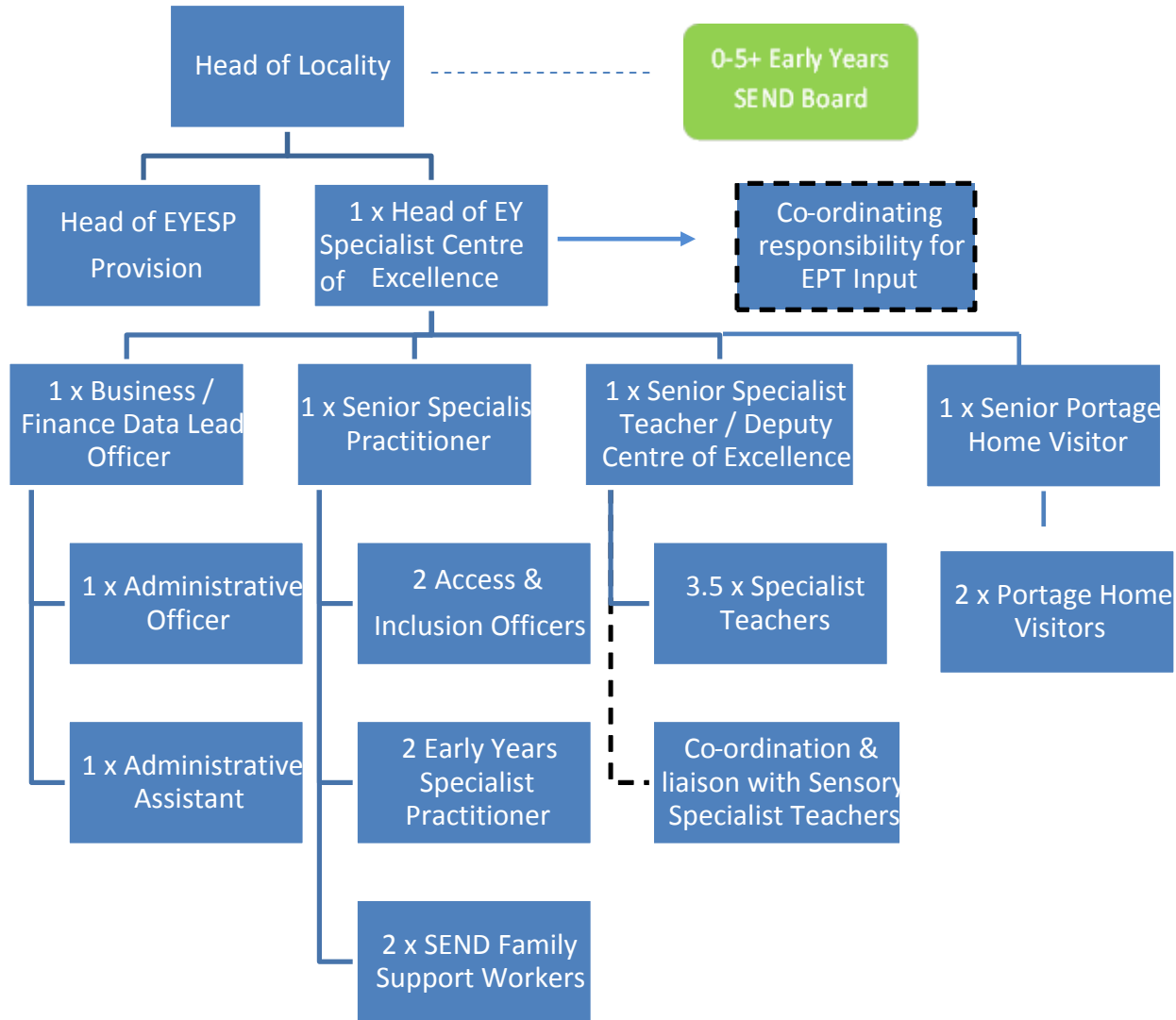


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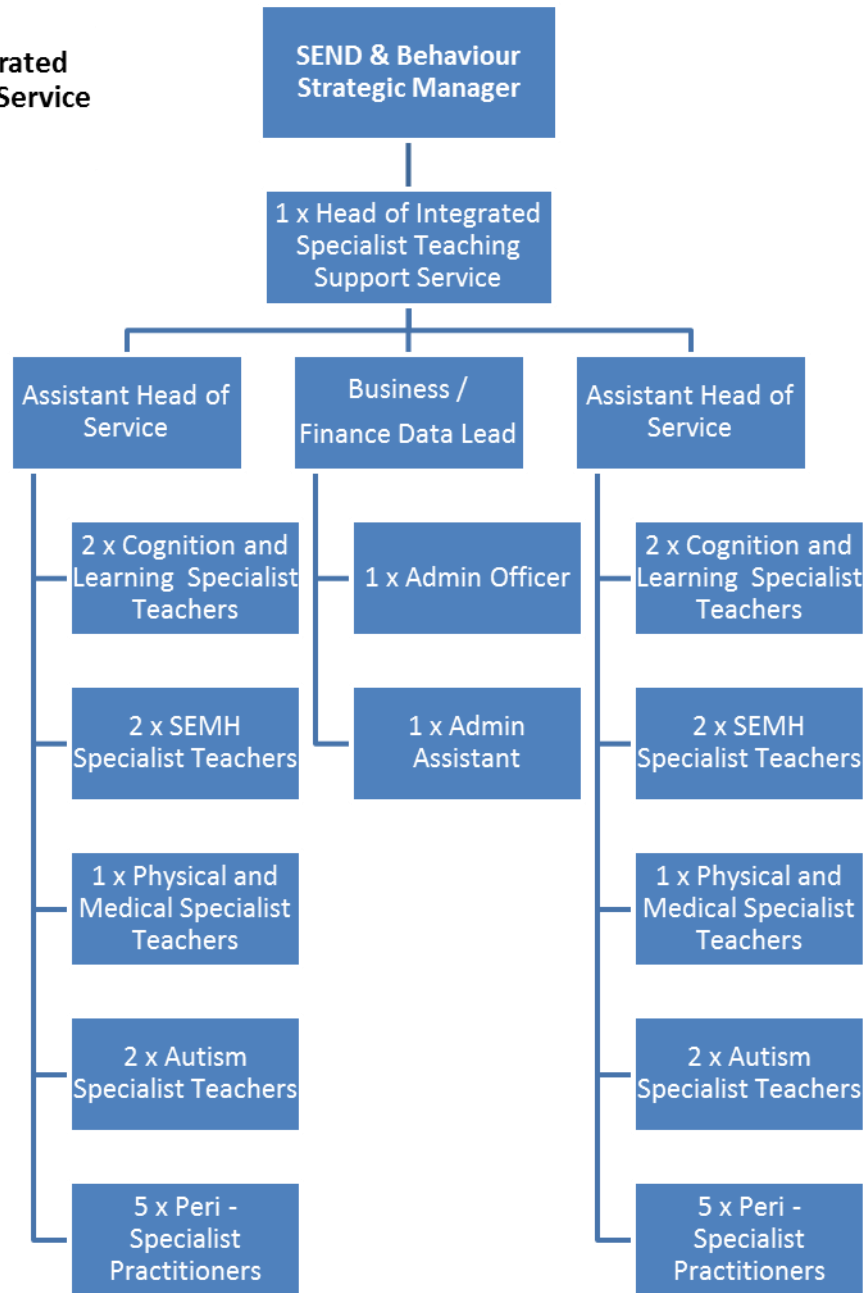


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**Proposed new structure
SEND Centres of Excellence**



Proposed Structure - Integrated Specialist Teaching Support Service (Traded)



Transition Plan 0-7 pathway

In order to achieve the changes outlined in this business plan and deliver the required savings the following timetable for change is proposed:

Proposed timeline 2017 - 2018

Time Period	Focus
8 March 2017	Proposals presented to DMT
22 March	Proposals presented to CMT
24 April	Proposals presented to Labour Group
27 April	OJC Level 2 meeting - briefing
2 May	Briefings with managers; nursery school Headteachers and representatives from the children's centre+ provisions; briefings with staff.
2 May to 6 June	Initial consultation period to inform final proposals for council executive
From April/May 2017 referrals of young children 0-7 to fill existing EYESP places	Referrals of young children 0-7 to fill existing EYESP places
From 2 May to 6 June	Consultation period for siting the 4 th EYESP and expressions of interest
7 - 9 June	Panel meeting to agree siting of 4 th EYESP
20 June	Council Executive
22 June	OJC final proposals and presentation of business case
26 June	Further staff/manager /stakeholder/ partner and council departmental briefings on final proposals
26 June to 31 August	Formal consultation period on proposals
From 1 September 2017	Begin to refer of young children with SEND to fill places at the 4 th EYESP
From 11 September 2017 for 6 weeks TBC	Expressions of interest for the 2 SEND Specialist Centres of Excellence
Week beginning 30 October TBC	Panel to agree siting of the 2 SEND Specialist Centres of Excellence

From week beginning 6 November TBC	Inform bidders of outcomes of panel decision for 2 SEND Specialist Centres of Excellence
8 weeks (2 months) - November/December	Assimilation period, grading panels, following HR processes for the staffing of the SEND Specialist Centres of Excellence
January/February 2018	Redeployment support for any displaced staff
1 April 2018	New structure in place for SEND Specialist Centres of Excellence and operational. SEND 5-16 Traded Service operational.

<p>Report Sponsor: Judith Kirk, Deputy Director Education, Employment and Skills</p>	<p>Contact Officers: Lynn Donohue Early Years Strategic Manager</p> <p>Angela Spencer-Brooke SEND & Behaviour Strategic Manager</p> <p>Extension: 01274 439606 and 439610</p>
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0-25 SEND Transformation Responses to the initial consultation

Responses to the initial consultation were received between 3 May 2017 and 6 June 2017. All responses have been carefully read and considered in the proposals for the formal consultation.

A total of 79 responses were received containing a total of 16 comments and 144 questions:

Respondent	Number of responses	Comments	Questions
Internal staff Teams	72	7	121
Schools	3	2	2
VCS	2	5	19
Parent	2	2	2
Overall	79	16	144

Overview of comments and questions from all respondents

Below is an overview of the comments and questions; many of which had similar threads running through them:

No	Who?	You said/asked...	We did/responded...
EYESP/Centres of Excellence			
1	Internal staff Teams	Internal staff Teams wanted more clarity around the EYESP Model in relation to: How/where Internal staff Teams would be deployed; How Internal staff Teams would be managed; What roles and responsibilities the EYESP and CoE would have would have; The role of the Centre of Excellence;	Internal staff Teams in the EYESP will be funded through HNB pupil place funding and employed by the Nursery School that hosts the EYESP.
2	Internal staff Teams	Where will the 4 th EYESP will be located?	Following an Expressions of Interest process and assessment by a panel Abbey Green Nursery School was successful. The other three are: <ul style="list-style-type: none"> • Canterbury Nursery • St. Edmund's Nursery • Strong Close
3	Internal staff Teams	What will be the reach of the locality?	Will be released in September 2017
4	Internal staff Teams	Why are the Centres of Excellence being developed when the CC+ model wasn't utilised fully?	Due to the high number of referrals for Early Years and the limited number of places in special schools we need to ensure that we have sufficient places in our EY provision moving forward.
5	Schools	Do the EY places in the EYESPs replace the EY places that we currently have in our primary generic Special Schools?	Given the current and forecasted demand for EY SEND places the model proposes an increase in places through EYESPs in addition to those that are provided in our primary generic Special Schools.
6	Internal staff Teams	What is the relationship between the EYESPs and places in generic Special Schools?	We are currently reviewing the offer and criteria for placements in EYESP. We are looking to support the EYESPs to offer

0-25 SEND Transformation Responses to the initial consultation

			placements to more complex children and improving the health offer. Access to a range of therapies will also be explored. The places are in addition to those within our generic special schools.
7	Internal staff Teams	How would Sensory Service Specialist teachers be used and funded in the EYs model?	The teachers will be used flexibly across the 2 localities according to the needs of the EY children within them and offer casework, consultation, home support and training in relation to referrals to the CoE and where required to support practice in EYESPs.
8	Internal staff Teams	Will the model result in a loss of EY Internal staff Teams and expertise?	All the specialist teacher posts in the CoE will be open for all specialist teachers to apply for. Applicants will have opportunity to demonstrate the appropriate skills and expertise they possess to qualify for the posts.
9	Internal staff Teams	How will referrals be triaged and by who?	Referrals will be triaged by the Head of CoE and the specialist teachers.
10	Internal staff Teams/Schools	Is there an opportunity to set up a traded service within the Centre of Excellence?	At this stage the CoE and services/activities delivered are funded through HNB. There may be opportunities to develop a traded service for commissioning in the future.
11	Internal staff Teams/Schools	Expressed some concerns and potential issues around the 0-7 nature of the EYESP and the scope of the Centre of Excellence.	This has now been changed to 0-5+. Any child remaining in the EYESP beyond their reception year will be by exception and will be through the SEN off-setting process. CoE Internal staff teams will work up to the point that children transfer into full-time school at which point schools can commission specialist teaching support from the 5-16 traded service.
12	Internal staff Teams	How will the model meet the Portage requirements?	The model has been revised to include 2 x Senior Portage Home Visitors, one in each CoE, to oversee the work of the 2 x Portage Home Visitors in each CoE. It is expected that the Senior Portage Home visitors will have Portage Trainer Accreditation.
13	Internal staff Teams	What would the benefit of having FSW 's rather than having more Portage Home Visitors who already support the family through the Early Support model.	The role of the Family Support will differ and will include: support parents through the assessment process, help them to liaise with professionals, access the support they require, liaise with agencies to support transition and to undertake assessments of need for transport assistance.
14	Internal staff Teams	The structure is very flat. What are the opportunities for progression?	The proposal has been amended so that each CoE now has: 1 x Deputy Head of Centre/Senior

0-25 SEND Transformation Responses to the initial consultation

			<p>Specialist Teacher role</p> <p>1 x Senior Specialist Practitioner</p> <p>1 x Senior Portage Home Visitor</p> <p>1 x Business /Data/Finance Lead who will manage the administrative team.</p>
15	Internal staff Teams	What training will be available for those Internal staff Teams taking up roles within the Centre of Excellence.	There will be support and training which will include internally from the EYIT, CPD with Early Years Team. Sharing of skill and expertise across all the specialist teaching teams. EPT input and training. Support to interpret and analyse relevant data.
16	Schools/Internal staff Teams	What opportunities are there in the EYESP model to provide all year round places?	We are currently exploring opportunities for all year round places for SEND children with our host Nursery Schools.
Integrated Specialist Teaching Support Service (Traded)			
17	Schools	The model for the Integrated Specialist Teaching Service is not wholly reflective of the model presented in the SEND Strategic Review which followed consultation with schools. What is the rationale for the model?	A wide number of stakeholders were consulted around the future delivery of the specialist teaching service. Current research and models of effective service delivery are centred on the need to intervene early in the life of a child. We have based this proposed on early intervention through provision and specialist support to improve outcomes. We have recognised from our discussions with schools that we need to retain specialist skills in the LA to support more complex needs. It is proposed that the team will collaborate and work alongside the highly skilled staff we have in school to deliver the most effective support to CYP. The effectiveness of this LA trading will be evaluated and opportunities explored for the development of a sector-led model into the future.
18	Internal staff Teams	Has the model considered the weighting of Internal staff Teams specialism according to need across the District.	There are a high number of referrals across all teams and a need for skills, expertise and specialism from all teams. It is envisaged that the roles will overlap in specialism and will evolve into generic specialist skills.
19	Internal staff Teams	Has the model given enough thought to how 50% of the Sensory Service will be traded?	The SEND & Behaviour Manager and the Head of the Sensory Service have scoped out possibilities for traded work around equipment, training, consultancy, interface/commissioning with Health. To support schools to trade the funding of ARC and mainstream places will be reviewed. Creative solutions and regional opportunities are also sought.
20	Internal staff Teams	Is there an opportunity to phase in the fully traded element over a number of years?	Due to budget constraints and the fact that the Schools Forum requested the restructure up to 2 years ago the restructure of TSS now needs to be

0-25 SEND Transformation Responses to the initial consultation

			completed by the deadline of 31 March 2018.
21	Internal staff Teams	How early will the publicising of the change in the delivery and funding of support be shared with schools?	Changes to delivery and service level agreement options will be drafted in September 2017 so that options for schools to purchase can be publicised early enough (October/November) so that schools can start to plan and we can gain sign up by January 2018.
22	Internal staff Teams	What preparations will be made for the change over to fully traded ?	A Project Management Board for the 0-25 SEND Transformation will be set up in July 2017 to oversee the move towards a fully traded service. This Board will include Strategic Managers, HR and business support, IT, Legal, Finance.
23	Internal staff Teams/Schools	How will school afford to trade with the Integrated Specialist Teaching Services?	For SEN Support schools can use Element 1+2 funding For SEN Support + (MSP) schools can use Element 1+ 2 + MSP funding For EHCP pupils schools can use Element 1+2+Top up Top up for ARC vs mainstream to be reviewed to support trading and access.
24	Internal staff Teams/Schools	How/who will ensure that schools access/commission the appropriate support to meet identified SEND?	Ensure annual review process is robust. Train governors to robustly review the impact of SEND funding in schools and challenge. Ensure parents understand the funding and access to specialist services through PCF and Local Offer. We can prepare a range of communications. Review range model and support maximising the impact of Teaching Assistants in school.
25	Schools	How will provision and support for SEMH be provided under the proposal?	There will be specialist provision in EYESPs alongside mainstream children. EY children in school/PVI settings can access support from the CoE. Schools can commission support from the Integrated Specialist Teaching Team for school aged pupils.
26	Schools	How will a timely and personal response be maintained under the proposal?	The Integrated Specialist Teaching Team will have generic skills which will be developed to ensure timely and prompt responses. Specialist Teachers will continue to support cases as now where the SLAs are signed from April 2018.
27	VCS	The council traded service will have an unfair advantage over other providers/traded services	We need to ensure that the specialist skills, knowledge and expertise of our specialist teachers are retained within the district and for the benefit of the children young people and their families with SEND.

0-25 SEND Transformation Responses to the initial consultation

EY Assessment Team/referrals			
28	Internal staff Teams	Concerns if the Early Years Assessment team is subsumed into the SEND Assessment team – what will happen to Internal staff Teams?	Details will be provided in the restructure of the SEN assessment team in the Autumn term.
29	Internal staff Teams/VCS	What is the referral process for young children with SEND into EYESP and special schools?	Referrals for places in EYESPs will continue to be from the SEN Assessment Team. We are reviewing the criteria for referrals to the EYESPs and our Special Schools; due to the high number of referrals for young children with SEND and limited places in our special schools we need to ensure the places in the EYESPs are maximised.

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SCHOOLS FORUM AGENDA ITEM

For Action

For Information

Brief Description of Item (including the purpose / reason for presenting this for consideration by the Forum)

To update the Schools Forum on the position of maintained school revenue balances at 31 March 2017.

Date (s) of any Previous Discussion at the Forum

The Forum received information on the position of school balances held at 31 March 2016 on 18 May 2016.

Background / Context

The financial year runs from 1 April to 31 March. At the end of each financial year, schools are required to 'closedown' their accounts and to finalise the values of balances held at this point. This information is forwarded to the DfE and is publicly published. The Authority's Deficit Budget Protocol is in place to manage schools that hold (or forecast to hold) deficit revenue balances.

Maintained schools are permitted to carry forward surplus revenue balances. Currently, schools with revenue balances in excess of 4% (Secondary) or the greater of £60,000 or 6% (all other schools) of funding must comply with the Authority's Surplus Balances Protocol, which requires schools to assign the value of excess balances to spend on permitted schemes. With the School Forum's support, the Surplus Balances Protocol was reviewed (strengthened) during 2013.

Details of the Item for Consideration

Please see Appendix 1 for a full list of school balances at 31 March 2017. Unfortunately, we are not able at this time to separate within the figures the values of balances held by each school that relate to collaborative arrangements. This information will not be available until final CFR returns have been submitted by schools in early June. The table below summarises the overall positions for each phase and gives a comparison against the absolute positions at 31 March 2016.

	March 2017	March 2016	£ Difference
Nursery	£658,544	£634,274	+ £24,270
Primary	£8,579,706	£13,192,865	- £4,613,159
Secondary	- £634,646	£3,306,510	- £3,941,156
Special	£354,372	£692,554	- £338,182
PRUs	£666,466	£1,041,564	- £375,098
Total	£9,624,441	£18,867,767	- £9,243,326

Please note that the totals above are affected by the reduction in the number of maintained schools, as schools convert to academy status. Balances held by academies are not included within the Authority's reporting. At 31 March 2017, 37 fewer schools were maintained by the Local Authority than at 31 March 2016. These 37 schools held revenue balances in total of £6.02m at 31 March 2016.

Surplus Balances Protocol

The revised Surplus Balances Protocol, which has been in place since March 2014, has been implemented with the main purpose of further supporting / encouraging schools to maximise the spending of their resources in support of raising standards. The two key aspects of the revised Protocol are:

- a) Thresholds of 4% (Secondary) and the greater of 6% or £60,000 (all other phases, but with additional flexibility for high needs providers) apply.
- b) The types of expenditure for which balances above the thresholds can be held are restricted to the following:
 - A revenue contribution to an agreed capital scheme, only where capital resources are not sufficient.
 - A revenue contribution to a 'spend to save' scheme, including energy efficiency schemes.
 - Balances earmarked to support the costs incurred by the review of contracts of a significant value, where expenditure is not even year on year, including Building Schools for the Future.
 - Managing the costs of expansion of pupil numbers.

Details of the Item for Consideration

- Managing financial difficulties associated with a budget reduction in the following financial year, resulting from either a significant reduction in pupil numbers or a loss or significant reduction of a specific funding stream.
- Managing exceptional circumstances in such a way as to avoid significant financial turbulence that may impact on standards. This may include, for example, outcomes of HR processes.

In terms of impact, firstly we might expect to see a reduction over time in the values of revenue balances held by schools. The table below shows an analysis of the balances positions by phase, having removed the 'distorting' effect of the conversion of maintained schools to academies:

	March 2017	March 2016	Difference
Nursery	£658,544	£634,274	+ £24,270
Primary	£8,579,706	£10,033,165	- £1,453,459
Secondary	- £634,646	£446,068	- £1,080,714
Special	£354,372	£692,554	- £338,183
PRUs	£666,466	£1,041,564	- £375,098
Total	£9,624,441	£12,847,625	- £3,223,184

The gross value of total surpluses held at 31 March 2017 is £11.984m. The gross value of deficits is £2.360m (8 schools). The gross value of deficits at 31 March 2016 was £1.162m (6 schools).

The table above, and Appendix 1, show a mixed picture *:

- The gross value of surplus balances at March 2017 held by the Secondary sector is roughly the same as held at March 2016 by remaining maintained schools. However, this sector is in deficit overall, driven especially by the worsened position of 1 school. 2 further schools hold deficit balances. £0.492m of the total surplus for this sector is held in IUB Schemes in support of contractual costs.
- A reduction in the total value of balances held by Primary schools, but a mixed picture, with 64 schools reducing and 42 schools increasing their balances. 4 schools hold a revenue deficit (compared with 1 school at March 2016).
- A sizeable reduction in the value of balances held by the PRUs, mostly explained by the reduction in the balance at 1 PRU with the progression of building works (and the related revenue contribution to capital).
- A sizeable reduction in the total value of balances held by Special schools, with 2 of the 6 schools quite significantly reducing their balances. 1 Special school holds a revenue deficit.
- A fairly static position in total in Nursery schools, but underlying this is some significant movement, with 3 schools increasing and 4 schools decreasing their balances by - £30k

* Further information will be presented verbally on any relationships between changes in value of balances during 2016 and types of school or characteristics of pupils.

The table below shows the number of school by phase by revenue balance as a % of funding at March 2017:

	Nursery	Primary	Secondary	Special	PRUs
Deficit	0	4	3	1	0
Up to 1%	0	4	0	1	0
1% - 2%	0	10	1	0	0
2% - 4%	0	23	2	2	2
4% - 6%	0	40	0	0	0
6% - 8%	1	12	0	1	1
8% - 10%	1	9	1	1	0
10% - 20%	2	4	0	0	2
> 20%	3	0	0	0	2

This table shows how this position has changed from that at March 2016:

	Nursery	Primary	Secondary	Special	PRUs
Deficit	- 1	+ 3	Same	Same	Same
Up to 1%	Same	+ 3	Same	+ 1	Same
1% - 2%	Same	+ 2	+ 1	Same	Same
2% - 4%	- 1	+ 7	Same	+ 1	+ 2
4% - 6%	Same	- 8	- 1	Same	- 2
6% - 8%	Same	- 5	- 1	- 1	+ 1
8% - 10%	+ 1	+ 3	+ 1	Same	- 1
10% - 20%	+ 1	- 5	Same	- 1	Same
> 20%	Same	Same	Same	Same	Same

Details of the Item for Consideration

The table below shows the median average value of net balance by phase:

	Median Mar 2017	Median Mar 2016	Change
Nursery	£89,738	£77,023	+ £12,715
Primary	£63,769	£79,196	- £15,427
Secondary	£99,928	£259,489	- £159,561
Special	£89,947	£155,378	- £65,431
PRUs	£58,099	£57,680	+ £499
Total	£64,108	£82,657	- £18,549

At 31 March 2016 (last year), 51 maintained schools held balances above their Intended Use of Excess Balances Thresholds, with a total value of balances above these Thresholds of £4.13m. After legitimate adjustments, such as for balances held on behalf of other schools, external ring-fenced grants and later notification of funding payments, 33 maintained schools held what the Council's Surplus Balances Protocol defines to be an 'excess' balance, at a total value of £2.38m. 36 schools returned schemes, with the total value of schemes adding up to £3.66m.

The equivalent position at 31 March 2016 is 30 schools (-21) are holding balances above their Thresholds, at total value of £1.83m (-£2.33m). After legitimate adjustments have been made, 20 schools (-13) are holding what the Council's Surplus Balances Protocol defines to be an 'excess' balance, at a total value of £1.36m (-£1.02m). 23 schools (-13) have returned 25 schemes, with the total value of schemes adding up to £1.91m (-£1.75m). A breakdown of schemes by type is shown in the table below:

Type of Scheme	No. of Schemes	Total Value of Schemes
1 Revenue Contribution to Capital Scheme	13	£969,814
2 Revenue Contribution to Spend to Save	0	£0
3 Contracts Review (including BSF)	2	£517,166
4 Managing Places Expansion	4	£109,583
5 Managing Budget Reduction	5	£290,655
6 Managing Exceptional Circumstances	1	£25,000
Total	25	£1,912,218

Of these schemes, all but 1 are planned to be completed by 31 March 2017. Of the 20 schools holding an excess balance at 31 March 2017, all appear to have properly assigned the value of excess and therefore, there are currently no proposals for clawback.

Our initial conclusion from a simple analysis of the balances and Intended Use of Balances reporting positions at 31 March 2017 is that the Council's revised Surplus Balances Protocol continues to have an impact:

- No schools have breached their Thresholds without having assigned an appropriate value of balance to schemes, suggesting that the quality of financial planning and monitoring is continuing to improve.
- The number of schools above their Thresholds at 31 March 2017 has reduced from 51 to 30 and the value of balances held by these schools above their Thresholds has also significantly reduced.
- The total value of balances held by schools has reduced. It is expected that balances will reduce further during 2017, especially where the sums currently being held for specific commitments are spent.

We must however, also recognise that the tighter financial climate is having / will have an impact on the values of balances held as well as the continued conversion of maintained schools to academy status. 62% of maintained schools reduced the sizes of their balances during 2016/17 (had 'in year' deficits).

Implications for the Dedicated Schools Grant (DSG) (if any)

General Context and Framework

- Deficit budgets on the closure of a maintained school revert back to the Local Authority and may be charged to the DSG if de-delegated arrangements operate to enable this. Surplus balances are credited to the DSG.
- Any claw back of surplus balances from maintained schools through the Intended Use of Balances process increases the amount of funding available for the Schools Budget in the DSG.
- On the conversion of a maintained school to academy status,
 - a deficit of a maintained school that is a 'converter' academy is transferred to the academy trust (so there is no liability on the Local Authority nor the DSG).
 - a deficit of a maintained school that is a 'sponsored' academy reverts back to the Local Authority and may be charged to the DSG if de-delegated arrangements operate to enable this.

Implications for the Dedicated Schools Grant (DSG) (if any)

Members received an update on the position of balances in relation to academy conversions on 15 March. At this meeting, Members agreed that the position of school and academy budgets would be a standing item on the agenda of future Forum meetings. An update on the position presented on 15 March is as follows:

- Since February 2016, at time of writing this report, the Local Authority has now completed the financial close of 37 maintained schools that have converted to academy status. None of these have finally closed with deficit budgets (1 academy has repaid back a small overspend). A total of £7.54m of surplus balances has been paid across for these 37 conversions.
- The Local Authority is currently processing the financial closures of 2 maintained schools that have converted to academy, none of which are sponsored academies i.e. there have been 39 conversions of maintained schools to academy status in total between February 2016 and June 2017. On current information, these 2 schools will convert with either surplus or zero balances. We will continue to keep the Schools Forum informed about the position of these conversions.
- At 1 June 2017 we have 132 maintained schools. We have immediate sight of around 30 schools that are planning conversion / may convert / are likely to convert during 2017. The position is moving regularly. Approximately 4 of these 30 would potentially be regarded as sponsored academies. On current information, there is risk of a small value of deficit in one of the 4 potential sponsored conversions (a primary sponsored academy). Forum members are reminded that a de-delegated fund of £150,000 was established in 2017/18 to be available to cover the value of deficits in the primary phase.

Further information will be presented verbally on the early messages and trends coming from the Authority's analysis of 2017/18 budget submissions from maintained schools.

How does this item support the achievement of the District's Education Priorities

Schools maximising their resources in support of raising standards.

Recommendations

The Schools Forum is asked to note the information provided on school balances.

List of Supporting Appendices / Papers (where applicable)

Appendix 1 – Summary of Maintained School Revenue Balances at 31 March 2017

Contact Officer (name, telephone number and email address)

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SCHOOLS FORUM AGENDA ITEM

For Action

For Information

Brief Description of Item (including the purpose / reason for presenting this for consideration by the Forum)

To update Schools Forum members on the Schools Financial Value Standard for 2017.

Date (s) of any Previous Discussion at the Forum

July 2016

Background / Context

The Schools Financial Value Standard (SFVS) was introduced by the Department for Education (DfE) to assist maintained schools in managing their finances and to give assurance that schools have secure financial management in place. It consists of 25 questions and on an annual basis the Governing Body of every maintained school must formally discuss each question with their senior staff and complete the self assessment, identifying remedial action and a timescale for completion where appropriate. All maintained schools, excluding those falling within listed exceptions were required to complete and submit a return by 31 March 2017, which for most schools was their sixth year of submission.

Details of the Item for Consideration

Summary of the Position as at 31 March 2017 and Summary of the Analysis of Returns

As at 31 March 2017 SFVS self assessments had been completed by 125 of the Council's 168 schools. This year 38 schools met the exemption criteria for SFVS, a much larger number than in previous years reflecting the growing academisation agenda. The returns received for 2017 show an overall improvement in the standard of completion of the returns and the quality of action plans. The number of late returns has remained the same. To date there are two schools yet to provide a return which is an improvement on the position last year. The number of returns provided by the required deadline has increased to 96% in 2017 from 93% in 2016, giving continued assurance that more schools are engaging with the SFVS process and complying with its requirements.

Overall Level of Compliance with SFVS Questions

In 2017 61% of the 125 schools providing a return gave a 'Yes' response to every question indicating that they fully complied with the standard. This shows a significant improvement in full compliance from 2016 when 53% of returns gave a 'Yes' response to all questions.

Approach to the analysis of returns received

Returns are analysed based on a rolling sample of approximately a third of returns (46 out of a possible 125 returns). The returns that were selected for audit were representative of the types of schools providing a return and included those experiencing financial difficulty at year end.

Standard of Completion

During the analysis each self assessment return was graded either 'good', 'average' or 'poor'. This grading is subjective, however a comparison of the standard of completion between years highlighted that there had been an overall improvement in the standard of returns, which is indicative of schools becoming more familiar with the requirements of SFVS and the impact of the training taking effect.

Summary of Action Plan Findings

Of the 46 schools which were sampled, 15 schools (33%) were required to produce an Action Plan to identify remedial actions to ensure compliance with all SFVS requirements. The analysis of the Action Plans considered whether they demonstrated SMART principles: specific, measurable, achievable, realistic and timely. It was pleasing to note that ten returns in the sample (67%) did demonstrate SMART principles.

SFVS requires that all action points are addressed prior to the next submission of the SFVS return. Therefore, consideration was given to whether returns showed evidence of action points from the 2016 return being addressed. Of the 26 in the sample with an action plan from 2016 only half had addressed fully their action points which was a decrease in performance on previous years. As a result, Internal Audit has emailed these particular schools to enquire as to how they intend to action these items as a matter of priority. For schools in a deficit position at the year end, Internal Audit ensured that the action plan and the SFVS assessment made reference to the deficit and included plans to rectify it going forward.

Analysis of the impact of full school audits on SFVS

Of the 46 returns which were analysed, three had been subject to a full school audit programme during 2016/17 out of a possible nine full school audits which were completed during 2016/17. During the analysis, consideration was given as to whether the recommendations raised in the audit reports related to SFVS, had been addressed prior to submission. The results of this analysis showed positive results and all recommendations relating to SFVS requirements had been addressed.

Analysis of the impact of SFVS training

Internal Audit continued to offer SFVS training to all governors and school staff during 2016/17. The aim of the training was to equip Governing Bodies with the skills needed to produce a good quality SFVS return. It was pleasing that improvement was evident in the returns provided by schools that had attended the SFVS training.

As reported in previous years, the SFVS training has replaced the specific SFVS audits with the intention of achieving a wider coverage of schools to demonstrate efficiency and effectiveness in the deployment of audit resources. This approach has been successful with 82 schools being represented at the training since it began, coverage which would be virtually impossible to achieve through the traditional SFVS audit process. In 2016, all of the 14 schools represented were new to SFVS training which has further widened our audit coverage in this area.

Internal Audit has allocated time in the 2017/18 audit plan for further SFVS training and will monitor the number of schools becoming exempt from SFVS due to having an academy order in place to ensure that any training offered is commensurate with need.

ACTION TAKEN TO MEET LOCAL AUTHORITY OBLIGATIONS FOR SFVS DURING 2016/17

- **Confirmation that SFVS returns are used to inform the programme of financial assessment and audit**
- **A system of audit is in place to give adequate assurance over the standard of financial management and the regularity and propriety of spending within schools**
- **The requirement to make the Governing Body, management committee and the LA aware of any major discrepancies in judgements when carrying out an audit and ensure that all actions have been addressed before an SFVS review takes place**

The risk model used to prioritise schools for inclusion in the audit plan includes non submission of SFVS as one of a number of risk factors via the inclusion of the Light Touch Financial Monitoring bandings. As part of the analysis of returns, Internal Audit also considers the contents of each SFVS return and if there are any comments that raise concerns, this will further inform audit planning for the schools audit programme for the coming year.

The audit testing programme for schools requires auditors to review a school's SFVS return as part of the planning process prior to an audit and compare the schools self assessment judgements to their findings during the audit. The auditor then makes an assessment on the level of correlation that can be identified between the SFVS assessment and the audit findings and advises the school to review their responses to specific questions where necessary. This position is highlighted to the school, Chair of Governors and authority recipients in the ensuing audit report.

Audit recommendations that are linked to the SFVS have been tracked as part of the audit follow up process, thus ensuring that schools are taking necessary action on all recommendations to improve their control environment and financial management practices in a timely manner.

Conclusion

The results of the full school audits and SFVS analysis suggest that the level of audit coverage of schools is appropriate. The system of audit in place for the year was sufficient to give the Chief Finance Officer adequate assurance over the standards of financial management and the regularity and propriety of spending within schools.

Consequently the SFVS submission for 2017 was signed off by the Director of Finance on the 17 May 2017 and submitted to the Department for Education on this date.

Implications for the Dedicated Schools Grant (DSG) (if any)

None

Recommendations

That the information in this report be noted.

List of Supporting Appendices / Papers (where applicable)

None

Contact Officer (name, telephone number and email address)

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SCHOOLS FORUM AGENDA ITEM

For Action

For Information

Brief Description of Item (including the purpose / reason for presenting this for consideration by the Forum)

To provide the Forum with a summary of the number of maintained schools in each category, within the “Financial Classification of Schools”, for the 2017/18 Academic Year.

Date (s) of any Previous Discussion at the Forum

The Financial Classification of Schools was last presented to the Schools Forum on 7 July 2016.

Background / Context

The Classification is a set of criteria used by the Local Authority to identify maintained schools in greatest need of financial support and to carry out a programme of annual detailed budget discussions with these schools. The Classification is calculated on an academic year basis, and is updated each year. The Financial Classification system was established in July 2006. The Classification is an alpha-numeric system with Categories A (highest level of support) B, C and D (lowest levels of support). A school is placed into a category, based mostly on the information taken from its approved 3 year budgets and outturn from the previous financial year.

Details of the Item for Consideration

This information is presented to the Schools Forum in the context of the discussions that are taking place on the liabilities that may crystallise with a school's conversion to academy status and what action is taken to prevent deficit budgets. The table below shows the initial calculation of number of schools in each category in the 2017/18 Academic Year Financial Classification. This assumes that no further conversions of maintained schools to academy take place.

	Category A	Category B	Category C	Category D
Nursery	0	0	2	5
Primary	15	7	35	48
Secondary	4	0	2	1
Special	2	0	2	1
PRUs	0	3	1	3
Total	21	10	42	58

Category A: School in deficit, recently in deficit or vulnerable to deficit, closing / opening schools (highest level of support)

Category B: Schools with excess surplus balances / trigger the forecasting accuracy criteria

Category C: Schools forecasting deficits or vulnerability to deficit in 2nd or 3rd year budgets

Category D: Normal level of support

The table below shows the change in the number of schools in each category from the 2016/17 Academic Year Financial Classification (on an equivalent basis i.e. removing schools that have converted to academy).

	Category A	Category B	Category C	Category D
Nursery	- 2	- 3	+ 1	+ 4
Primary	+ 9	+ 1	- 2	- 8
Secondary	+ 1	same	same	- 1
Special	+ 1	- 1	+ 2	- 2
PRUs	same	+ 1	same	- 1
Total	+ 9	- 2	+ 1	- 8

Implications for the Dedicated Schools Grant (DSG) (if any)

None

How does this item support the achievement of the District's Education Priorities

This is an item for information. It is important for Forum members to be aware of the support framework for maintained schools. The information in this paper provides more detail of one of the ways in which the Authority supports and challenges maintained schools.

Recommendations

The Forum is asked to consider and to note the information provided in this paper.

List of Supporting Appendices / Papers (where applicable)

None

Contact Officer (name, telephone number and email address)

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