



WOKINGHAM BOROUGH COUNCIL

A Meeting of the **SCHOOLS FORUM** will be held at the Civic Offices, Shute End, Wokingham RG40 1BN on **WEDNESDAY 13 JULY 2016 AT 9.30 AM**

A handwritten signature in black ink, appearing to read 'Andy Couldrick', written in a cursive style.

Andy Couldrick
Chief Executive
Published on 5 July 2016

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Our Vision

A great place to live, an even better place to do business

Our Priorities

Improve educational attainment and focus on every child achieving their potential

Invest in regenerating towns and villages, support social and economic prosperity, whilst encouraging business growth

Ensure strong sustainable communities that are vibrant and supported by well designed development

Tackle traffic congestion in specific areas of the Borough

Improve the customer experience when accessing Council services

The Underpinning Principles

Offer excellent value for your Council Tax

Provide affordable homes

Look after the vulnerable

Improve health, wellbeing and quality of life

Maintain and improve the waste collection, recycling and fuel efficiency

Deliver quality in all that we do

MEMBERSHIP OF THE SCHOOLS FORUM

Schools Representatives

John Bayes	Governor - Foundry College - Chairman
Paul Miller	Governor - St Crispins - Vice-Chair
Ian Head	Governor - Aldryngton Primary
Phil Armstrong	Maintained Nursery Headteacher
Helen Ball	Primary Head - Polehampton Infant
Ali Brown	Primary Head - Nine Mile Ride Primary
Louisa Gurney	Primary Head - Emmbrook Junior
Sally Hunter	Primary Head - Wescott Infant
Brian Prebble	Primary Head - Rivermead Primary
Elaine Stewart	Primary Head - Aldryngton Primary
Mandy Turner	Primary Head - Shinfield Infant
Sylvia Allen	School Business Manager - Hawkedon Primary
Julia Mead	School Business Manager - St Sebastian's CE Primary
Carol Simpson	School Business Manager - Colleton Primary
Liz Meek	Special School Head - Addington School
Mary Rome	Pupil Referral Unit - Foundry College Headteacher
Ginny Rhodes	Secondary Head - St Crispins
Derren Gray	Academy Headteacher - The Piggott School
Janet Perry	Academy Business Manager - The Holt School
Vacancy 4	Special School Head

Non School Representatives

Vacancy	Roman Catholic Diocese
Anne Andrews	Oxford Diocese
James Taylor	Wokingham and Bracknell College
Richard Dolinski	Wokingham Borough Council Representative
Charlotte Wilkinson	Early Years Forum
Vacancy	Early Years Forum

Observers

Funding Reform Team	Education Funding Agency, Maintained Schools Division
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From the Primary Heads only 4 votes are allowed.
 From the Special School Heads only 1 vote is allowed.
 From the Early Years only 1 vote is allowed.

ITEM NO.	WARD	SUBJECT	PAGE NO.
81		APOLOGIES To receive any apologies for absence.	
82		MINUTES OF PREVIOUS MEETING To confirm the Minutes of the Meeting held on 18 May 2016.	7 - 12

83	DECLARATION OF INTEREST	
	To receive any declarations of interest.	
84	REVENUE MONITORING	13 - 16
	To receive and consider a report giving details of the current revenue position.	
85	FIVE YEAR PLAN UPDATE	17 - 20
	To receive and consider a report containing a five year forecast of schools' finances.	
86	FUTURE OF FORMULA FUNDING NATIONAL/ LOCAL AND DSG	Verbal Report
	To receive a verbal update on the future of the Dedicated Schools Grant formula funding.	
87	MECHANISM FOR WORKING WITH TRIBUNALS	21 - 34
	To receive and consider a report giving details of the process used for working with tribunals.	
88	FORWARD PROGRAMME	35 - 36
	To consider the Forums work programme for the remainder of the municipal year.	

Any other items which the Chairman decides are urgent

A Supplementary Agenda will be issued by the Chief Executive if there are any other items to consider under this heading.

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**MINUTES OF A MEETING OF THE
SCHOOLS FORUM
HELD ON 18 MAY 2016 FROM 9.30 AM TO 11.30 AM**

Schools Representatives

Helen Ball	Primary Head - Polehampton Infant
Ali Brown	Primary Head - Nine Mile Ride Primary
Elaine Stewart	Primary Head - Aldryngton Primary
Mandy Turner	Primary Head - Shinfield Infant
Sylvia Allen	School Business Manager - Hawkedon Primary
Julia Mead	School Business Manager - St Sebastian's CE Primary
Carol Simpson	School Business Manager - Colleton Primary
Liz Meek	Special School Head - Addington School
Mary Rome	Pupil Referral Unit - Foundry College Headteacher
Ginny Rhodes	Secondary Head - St Crispins
Derren Gray	Academy Headteacher - The Piggott School
Janet Perry	Academy Business Manager - The Holt School
Paul Miller	Governor - St Crispins - Vice-Chair
Ian Head	Governor - Aldryngton Primary

Non School Representatives

Anne Andrews	Oxford Diocese
Charlotte Wilkinson	Early Years Forum

Also Present

Luciane Bowker, Democratic Services Officer
Donna Munday, Schools Finance Manager
Alan Stubbersfield, Interim Director Learning and Achievement

Paul Miller, Vice-Chair chaired the meeting in the absence of the Chair.

72 APOLOGIES

Apologies for absence were submitted from John Bayes, Brian Prebble and James Taylor.

73 MINUTES OF PREVIOUS MEETING

The Minutes of the meeting of the Committee held on 16 March 2016 were confirmed as a correct record and signed by the Chairman.

74 DECLARATION OF INTEREST

There were no declarations of interest submitted.

75 REVENUE MONITORING

The Forum considered the Revenue Monitoring report which was presented by Donna Munday, Schools Finance Manager.

Donna explained that the budget used to determine the school allocations on 20 January 2016 showed a forecast year end position of £838K surplus. This was subsequently revised down by Schools Forum to leave a £500K surplus position.

For the purpose of monitoring and being able to reconcile to the submitted s251 statement, the monitoring report started from the £838K position.

Donna drew attention to the increase in growth fund which was due to the opening of Shinfield West School a year earlier than initially budgeted for, along with the expansion of maintained primary schools Loddon, Highwood and Beechwood.

Donna explained that the internal recharges remained fixed for a fourth consecutive year, due to pre-existing contractual arrangements and were now included in the line 1.6.5. However, when they were removed from the Foundry budget to give greater clarity (lines 1.3.1, 1.3.2 and 1.3.3) the corresponding amount wasn't allocated to the miscellaneous line 1.6.5 in the 2015/16 budget, this missed transaction now appeared as a pressure in year 2016/17.

During the discussion of the item, the following points were made:

- Academy Members asked if academies could opt into the Supply Cover (Not sickness) insurance pot as they thought this would make more financial sense than having to buy this service separately;
- Donna stated that academies were not part of the de-delegation but that she was happy to make a calculation for academies. However, this would be as a traded service;
- Donna stated that the £41K overspend in supply cover staff costs had been the highest in recent years;
- Donna thought that there were other areas that potentially more schools could benefit from buying services together which were worth exploring;
- Donna stated that individual maintained schools could not opt out of de-delegation and that academies could not opt into de-delegated items;
- Donna stated that the de-delegation would be removed in the future with the implementation of the National Funding Formula in 2019/20.

RESOLVED That: Donna Munday would do the necessary calculations to find out the cost for academies to buy into the supply cover insurance as a traded service.

76 FINAL 2015/16 OUTTURN

The Forum considered the Final 2015/16 Outturn report which was set out on Agenda pages 11-13. Donna Munday, Schools Finance Manager introduced the report and explained that there was no provision for in-year adjustments through the formula, therefore any changes to Schools Block funding advised by DfE during a year impacted the following financial year.

In response to a question Donna clarified that figures for the High Needs Block and Early Years were adjusted on a termly basis; and in the case of academies on a monthly basis.

It was noted that there had been an overspend of £41K in staff costs as a result of supply cover not due to sickness.

Donna reported an improvement in the Outturn since the last meeting of the Forum, resulting from increased (non-Schools Block) in-year funding adjustments made by the DfE, as described in appendix A. Donna emphasised that there had been 11 versions of the DSG (Dedicated Schools Grant) received from DfE during the year and this was a much higher volume of amendments than in previous years.

This unprecedented number of adjustments had occurred largely as a result of changes in legislation around:

- Post 16 High Needs Block funding;
- Early Years 2 year old funding becoming participation led rather than place led;
- the inclusion for the first time of free schools in our allocation and
- the academisation of the largest secondary school in the borough – Waingels.

Donna predicted that more schools would become academies going forward and as a result more in-year adjustments were expected (these could go up or down). Donna suggested in future reporting these adjustments on a separate line in the budget monitoring as funds to be available the following year. This line would only be required for the financial years 2017/18 and 2018/19 as the introduction of the National Funding Formula would negate this need.

Donna stated that there was £251,000 additional income received in 2015/16 relating to Schools Block and pointed out that this amount was a one off which was not guaranteed for subsequent years. Donna was seeking the Forum's views on how best to proceed to allocate this additional income and listed the options available:

- Keep some or all of it in reserves for 2017/18 (2016/17 allocations already 'locked-in');
- Invite bids to spend the additional income for specific one off initiatives ideally with a positive general impact or
- Hold it in contingency for schools, academies and free schools in financial difficulty.

Alan Stubbersfield, Interim Assistant Director Learning and Achievement suggested the Forum considered keeping this surplus as a contingency to help schools under financial difficulties. For example, as reported in the media, a local school had recently had a number of staff suspended, creating a huge in impact in the school's budget. Alan stated that there were other circumstances and cost pressures that were not within management control.

The following points were raised during the discussion of the item:

- Members of the Forum questioned the difference between the issue of staff suspension and staff sickness in financial terms;
- Members mentioned that there were various rules around sickness payment;
- It was noted that some schools had insurance for such circumstances;
- Members noted that the surplus money was part of Schools Block and not the High Needs Block. Donna stated that Schools Forum had the discretion to move the money;
- Members noted that there was no contingency for schools in difficulty as agreed by Schools Forum previously;
- Donna stated that contingency was de-delegated and therefore academies and free schools were not considered part of it;
- It was suggested that a moderation panel or working group could be created to discuss the best use of this surplus money;
- It was proposed that this should be discussed at the next meeting in July in further detail and potentially including more options;
- The chairman asked the Members for a show of hands to have an informal indication as to which option was preferred and most people were in favour of holding the additional £251K income over until 2017/18 and including it in the AWPU distribution.

RESOLVED That: the £251K be carried forward and distributed through the AWPU in 2017/18.

77 SEN ALERT

The Forum received an updated report which was circulated at the meeting. Linda Orr, Special Educational Needs (SEN) Team Manager explained that further amendments had subsequently been made to the report and this would be circulated with the minutes.

Linda stated that there had been a lot of activity since the last meeting of the Forum, with a high number of places having been found and a number of successful placements being achieved. There were also significant numbers of searches for places underway.

Linda emphasised that it was particularly difficult to find new special school placements for children in Years 8 and 9 with moderate learning difficulties who were currently attending mainstream schools. Schools were struggling to match a suitable curriculum offer appropriate to their needs.

Linda reported the opening of Forest Bridge Free School in Maidenhead, which was proving very popular with parents and this was having an impact in the negotiation of placements. The parental preference and marginal cost difference (+£3K) required the preference to be agreed.

Linda also stated that there was a new provision in Heathermount School in Ascot which would offer places for foundation stage. At the moment there were four children undertaking assessments for placements. However, there were suitable places in Addington School and the difference in cost between these placements was in the region of an additional 30K per child per annum, there was an expectation that this would result in tribunals.

In response to a question Linda explained that new September starters were more costly than July leavers.

Liz Meek, Special School Head at Addington School raised the following issue:

Schools were required to keep places available for pupils who were involved in tribunal cases until a decision was reached. However, this could be a lengthy process and required an enormous amount of work from the school. This situation was costly in financial terms, as the school did not receive any top up funds for the reserved places, which could otherwise be filled. It was unaffordable to have empty places at the school and Liz was seeking the Forum's views to find a way forward to alleviate this situation. Liz reported that at the moment there were four places being held pending on tribunals and this equated to £60K.

Linda confirmed that the tribunal process could take four months or longer. Linda felt that the number of tribunals logged was indicative of the new provisions recently opened and parents being engaged in social network.

Members of the Forum agreed that more discussion around this issue was needed and asked that this item come back to the Forum for further analysis.

Members asked that in the future the SEN report should contain more information about costs, including the current placements and the placements that were anticipated. Also a further explanation about how the budget was compiled illustrating the methodology around forecasting.

Charlotte Wilkinson, Early Years Forum expressed a view that more could be done to help children at an earlier stage, she believed this could save money in the long run as children would be more equipped for school later in their academic career if help was offered at an early stage. Charlotte felt there was an opportunity for joint working.

Helen Ball, Headteacher at Polehampton School described how in her experience she had been disappointed that children had not had their assessments undertaken earlier and that this would have been helpful.

Linda stated that all assessments followed a process.

Linda updated the Forum to say that the figure on page 2 of the report should read - £54,998. *(After the meeting this figure has been revised and confirmed to be £80,998)*

RESOLVED That:

- 1) A mechanism for working with tribunals to alleviate the 'open place' financial burden generated on schools be brought back for discussion;
- 2) Future SEN reports to include more detailed costs around current placements, predicted placements and the budget forecasting process involved;
- 3) The updated report be circulated with the minutes.

78 SCHEME FOR FINANCING SCHOOLS - CONSULTATION REPORT

Donna Munday, Schools Finance Manager presented the report which was set out on Agenda pages 15-16. Donna explained that the current scheme for financing schools restricted the ability of the Local Authority to grant loans to maintained schools for anything other than capital expenditure. The Local Authority would like to be able to support schools by being able to grant loans for revenue purposes. In order to do this, the language defining the scheme for financing schools which applied to all maintained school, maintained nurseries, special schools and pupil referral units needed to be amended.

During the discussion of the item the following comments were made:

- Members questioned if schools converting to academies had their debt written off in the conversion process;
- Donna explained that only if a school was forced into becoming an academy could the debt be written off;
- Donna stated that the continuance of any loan agreement was part of the academisation process, and that a licence deficit was to be avoided if possible;
- Members questioned the reasoning behind this proposal and wished to find out more details as to why this was being proposed;
- Alan stated that this had been proposed by the Executive and it followed a trend from other Councils;
- Alan also mentioned that it was more 'acceptable' for Ofsted if a school in difficulty took out a loan rather than to be in a licence deficit position;
- Donna informed that there were not many mechanisms to help schools facing deficit and this proposal offered an alternative;

- Members felt anxious that this proposal would penalise schools, forcing them to take out a loan when they could otherwise have their debt written off at the time of academy conversion;
- It was suggested that this option should be discussed with schools in difficulty before a decision was made.

RESOLVED That: this item would be discussed at the next meeting with more clarity around the questions raised during the debate, including:

- Who bears the cost of writing off the debt of a school which was forced into academisation;
- How to ensure schools in difficulty would not be penalised by being forced to take out a loan;
- More clarity around how this affected Ofsted reviews.

79 FORWARD PROGRAMME

The Forum considered and noted the Forward Programme of work and dates of future meetings as set out on Agenda page 17.

The following items were agreed:

13 July 2016 – this meeting will be held in the Shute End offices of Wokingham Borough Council

- Revenue Monitoring
- 5 Year Plan Update
- Future of formula funding national/ local and DSG
- A mechanism for working with tribunals
- Scheme for financing schools

19 October 2016

- Revenue Monitoring
- SEN Alert
- Draft Proforma for Submission to EFA
- Consultation Responses
- Education out of school
- Foundry Report
- Early Years – 30 hours provision

14 December 2016

- Revenue Monitoring
- Draft 2017/18 Budget

The Forum was informed that Mary Davies, Maiden Erlegh Headteacher would be joining the meeting as an academy representative.

Alan Stubbersfield informed the Forum that Rob Stubbs, Head of Finance had accepted a job at another local authority and therefore was no longer a member of Schools Forum. The Forum wished Rob well in his new job and would like to thank him for all his help during his time at the Forum.

SCHOOLS FORUM

Schools Revenue Monitoring Report – May 2016

Purpose of the Report

- 1 The purpose of this report is to provide details of the outturn position on the Schools Budget funded by the Dedicated Schools Grant (including EFA funding), Pupil Premium Grant and Universal Infant Free School Meal grant as at the 31/3/17.

Suggested Action

- 2 The Forum are asked to note the contents of this report.

Update

- 3 The budget used to determine school shares on the 20th of January 2016 showed a forecast year end position of (£838k) surplus. This was subsequently revised down by schools forum to a (£500k) surplus position. For the purposes of monitoring and being able to reconcile to the s251 statement this monitoring report will start from the (£838k) position.

The material forecast movements are highlighted below.

4	Material movements	£'000's	£'000's
	Budgeted deficit / (surplus)		(838)
	Position reported at Forum May 2016		(747)
	Material Movements in the Month		
	1.4.10 Pupil growth / infant class sizes	255	
	Forecast Carry forward deficit/ (surplus) to 2017/18		(492)

The increase in pupil growth fund is to due to additional pre-opening costs required by the new secondary school in Arborfield. This is now the actual final pre-opening cost, previous budget monitoring had been based on an estimate, this is not expected to change.

Donna Munday
Schools Finance Manager,
June 2016

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Schools Budget

24 June 2016

		Actual 2012-13	Actual 2013-14	Actual 2014-15	2015-16 Actual	Budget	2016-17 Variance	Forecast	All Schools	Maintained	Academies	High Needs	Early Years	Pupil Premium					
INCOME																			
	Maintained Schools Block	92,391	92,932	68,118	-3.8%	65,637	63,980	0.0%	63,980		65,213								
	Additional Schools Grant		333	533	-2.3%	521	250	0.0%	250	250									
	Academy Recoupment			19,872	24.4%	26,274	28,999	0.0%	28,999		26,274								
	High Needs Block			17,588	-4.7%	16,795	17,092	0.0%	17,092			16,794							
	Early Years Block			6,373	6.0%	6,780	6,749	0.0%	6,749				6,749						
	Early Years Block 2 year olds					0	0		0				391						
	Universal Infant FSM			1,298	40.9%	2,195	2,195	0.0%	2,195				2,195						
	Education Funding Agency	6,226	4,658	4,384	-24.3%	3,528	3,191	0.0%	3,191	3,191									
	Pupil Premium Grant 5-16	1,237	1,913	2,735	-4.5%	2,618	2,688	0.0%	2,688						2,688				
	Pupil Premium Grant 3-4					57	56	0.0%	56						56				
	TOTAL FUNDING	99,854	99,836	120,901	2.8%	124,405	125,200	0.0%	125,200	250	68,404	26,274	16,794	9,335	2,744				
OUTGOINGS																			
1.0.1	Schools Block excluding Academies	84,944	-15.9%	73,264	-2.9%	71,195	-4.3%	68,282	64,683	1.3%	65,507								
1.0.1	Academy Recoupment			19,872	24.4%	26,274	28,999	-2.6%	28,240		26,274								
1.0.1	High Needs Block allocation (across all schools)			6,328	10.3%	7,052	-45.0%	4,864	6,807	0.0%	6,807			6,187					
1.0.1	Pupil Premium (exc Academies)			1,880	29.4%	2,663	-4.7%	2,543	2,613	0.0%	2,613					2,613			
1.0.1	Universal Infant FSM			1,298	40.9%	2,195	2,195	0.0%	2,195					2,195					
1.0.1a	Early Years Block allocation	3,983	31.7%	5,835	4.1%	6,087	5.5%	6,438	6,520	0.0%	6,520			6,381					
	Total ISB and PVI allocations	88,927	-1.9%	87,307	19.3%	108,167	2.2%	110,596	111,817	0.1%	111,882			66,956	26,274	6,187	8,576	2,613	
1.0.2	Pupil Premium mainstream	22	15.4%	26	46.9%	49	2.0%	50	50	0.0%	50						50		
1.0.3	Pupil Premium non-mainstream	34	-88.9%	18	21.7%	23	8.0%	25	25	0.0%	25						25		
	Pupil Premium 3-4 years					56	56	0.0%	56								56		
1.1.3	Early Years contingency	172		0	184	-36.3%	289	229	0.0%	229				229					
1.2.1	Provision for pupils with SEN (actual charges)	1,433	18.2%	1,752	25.2%	2,343	-11.2%	2,107	2,468	0.0%	2,468			2,256					
1.2.2	Provision for pupils with SEN (additional charges)	110	5.2%	116	-3.6%	112	-460.0%	20	20	0.0%	20			20					
1.2.4	Fees for Independent Special Schools	4,931	4.8%	5,182	8.4%	5,655	-41.9%	3,984	5,262	12.5%	5,920			5,579					
1.2.5	Element 2 funding for post 16					546	0	0	0		0			0					
1.2.5	SEN transport	230	0.0%	230	0.0%	230	0.0%	230	230	0.0%	230			230					
1.2.7	Inter-authority recoupment	-1,605		-46	0	0	0	0	0		0			0					
1.3.1	Pupil Referral Units	712	-54.8%	460	-22.0%	377	30.6%	543	480	2.1%	490			667					
1.3.3	Education out of school	485	21.5%	618	2.1%	631	-8.4%	582	617	-1.6%	607			589					
1.3.4	14-16 More practical learning options	582		0	0	0	0	0	0		0			0					
1.4.5	Carbon reduction allowances			91	0	0	0	0	0		0			0					
1.5.1	School meals (nursery, primary, special)	223		0	0	0	0	0	0		0			0					
1.2.1	Support for inclusion	425	56.3%	973	-69.8%	573	-2.9%	557	362	0.0%	362								
1.2.3	Moderating panels				100	33.3%	150	150	150	0.0%	150								
1.6.5	Miscellaneous	92	-24.3%	74	17.8%	90	70.6%	306	97	173.2%	265			92					
1.5.2	FSM eligibility	0		0	0	0	0	0	0		0			0					
1.5.4	School kitchens (repairs and maintenance)	413		-152	103	0	0	0	0		0			0					
1.1.2	NQT induction		32	0.0%	32	0.0%	32	32	0.0%	32				32					
1.6.3	School admissions	272	3.9%	283	-2.5%	276	-2.2%	270	281	0.0%	281			281					
1.6.6	Servicing of Schools Forum	4	0.0%	4	0.0%	4	0.0%	4	4	0.0%	4			4					
1.1.2	School specific contingencies	744	-171.5%	274	9.3%	302	18.2%	369	340	0.0%	340			279					
1.3.2	Behavioural Support Services	619	-27.1%	487	-51.7%	321	0.0%	321	321	0.0%	321			321					
1.4.1	Support for ethnic minority and bilingual	134	-8.9%	123	9.6%	136	3.5%	141	146	0.0%	146			146					
1.6.1	Insurance	568	1.7%	578	-2.3%	565	11.4%	638	586	0.0%	586			408					
1.6.4	Licenses / subscriptions	191	20.7%	241	2.4%	247	-10.3%	224	339	0.0%	339			-562					
1.4.10	Pupil growth / infant class sizes		639	-4.6%	611	19.6%	760	1,232	39.0%	1,713				585					
1.6.7	Staff costs - supply cover	415	-5.1%	395	0.3%	396	3.4%	410	369	0.0%	369			289					
	Total Central Expenditure	11,206	9.6%	12,398	7.2%	13,360	-5.9%	12,614	13,696	9.5%	15,003			808	2,385	0	9,662	229	131
1.8.1	TOTAL SCHOOLS BUDGET	100,133	-0.4%	99,705	18.0%	121,527	1.4%	123,210	125,513	1.1%	126,885	808	69,341	26,274	15,849	8,805	2,744		
	Surplus / Deficit	-279	131	-626	1,195	-313	-1,685	-558	-937	0	945	530	0	0	0				
	Reserves b/fwd	1,752	1,475	1,607	982	1,151	2,177												
	Reserves c/fwd	1,473	1,606	981	2,177	838	492												
Memo	WBC Central Overhead Costs				457	457	0.0%	457											

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SCHOOLS FORUM

DSG 5 Year financial plan

1 Purpose of the Report

To provide the Schools Forum with an indicative updated view of the financial horizon for the DSG 2016-2021. The report's objective is to help understand some of the financial pressures that are being faced and allow time for planning to address such challenges. The 5 year plan has become a standard annual document presented in July, reflecting expected changes for future years and to monitor the risk of the DSG becoming unsustainable.

2 Suggested Action

The Forum is asked to note the contents of this report and consider approaches to the 2017-18 budget build.

3 Background

This report provides an update from the September 2015 Forum, taking into account revised cost estimates for the new secondary school in Arborfield applying the agreed funding of 150 pupils in September 2016 rather than 90 pupils in the previous model.

The paper also sets out the scenario of not applying any further reductions in AWPU.

Further to recent changes in legislation this 5 year plan takes into account academisation, and the 4 new schools that have providers selected.

	Estimated Conversions	Committed New Schools
2016/17	7	3
2017/18	20	1
2018/19	20	
2019/20	6	
2020/21		

4 Financial Summary

The 5 year financial summary below captures best known data available today and application of assumptions to formulate a financial forecast. The summary takes into account expected pupil growth within the borough, new schools, alternative provision review and any anticipated funding changes.

DSG 5 year financial plan	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
	Actual	Actual	Actual	Forecast	Year 1	Year 2	Year 3	Year 4
		£k	£k	£k	£k	£k	£k	£k
Income								
DSG Funding	92,932	92,079	91,879	89,180	91,356	91,700	91,522	92,203
Additional grants	333	533	521	250	250	250	250	250
UIFSM	0	1,298	2,195	1,834	1,891	1,863	1,765	1,765
EFA	4,658	4,384	3,528	3,191	4,384	4,384	4,384	4,384
Pupil Premium grant	1,913	2,735	2,674	2,595	2,659	2,669	2,664	2,664
Total income	99,836	101,029	100,796	97,050	100,540	100,866	100,585	101,266
Outgoings								
Schools allocations	72,164	72,493	70,130	67,936	69,555	69,816	69,680	70,167
Pupil Premium	1,913	2,735	2,674	2,595	2,659	2,669	2,664	2,664
Early Years allocations	5,835	6,087	6,727	6,749	6,547	6,023	6,023	6,023
SEN / HNB	17,573	17,853	16,548	16,707	16,836	17,341	18,035	18,035
Growth	639	611	760	1,713	1,551	1,629	1,680	1,500
Central Expenditure	1,120	1,417	2,302	2,597	2,619	2,560	2,505	2,275
Internal Recharges	459	459	459	459	459	459	459	459
Total Outgoings	99,703	101,655	99,600	98,757	100,226	100,497	101,046	101,123
Net in year (Surplus) / Deficit	(133)	626	(1,196)	1,707	(314)	(369)	460	(143)
C/fwd (Surplus) / Deficit Balance	(1,608)	(982)	(2,177)	(471)	(785)	(1,154)	(694)	(837)

5 Assumptions

To arrive at the above projection the following assumptions were made:-

1. Central Expenditure would reduce over time due to academisation, though a number of traded services will be on offer, details below reflect estimated take up.
2. There would be no requirement to service a Schools Forum post 2019/20
3. De-delegation would cease post 2019/20
4. Pupil numbers have been provided by Childrens Services, Place Planning.
5. DSG funding is anticipated to remain at £4,155 per pupil; hence changes to funding reflect changes to pupil numbers.
6. The Growth funding line shows a reduction by 2020/21 as the start-up costs in 2016/17 through to 2018/19 are one off in nature, and additional funding to support the two schools that opened in 2013/14 will cease.
7. The cost of the High Needs Block is showing as increasing in line with pupil numbers but as there is currently no growth mechanism in the High Needs Block this is showing as a pressure.
8. Internal Recharges are showing as remaining fixed, though these are being reviewed this summer.
9. The above does not show the impact on the cash flow of WBC; in order to make comparisons DSG income and schools allocations have been based on the position in 2015/16 . That is to say as schools academise the cash amount received by WBC will reduce and schools will receive their funding direct from the EFA. It is expected that post 2019/20 all schools will be funded direct from the EFA and there will be no cash flowing through WBC.

6 Internal recharges

Below is a schedule of what constitutes internal recharges against the DSG. Recharges have remained consistent over the years, with inflationary pressures and pay increases being offset by efficiencies gained in support service.

DSG Service Charges Summary		
Children's Services -DSG	15-16 £k	Basis of Apportionment
Administration	144,010	5.6 FTE admin support provided to schools and Education
Business Improvement	11,000	Time spent from Audit, Insurance, Investigations and Business improvement offset by £40k income from schools
Central Accountancy	37,388	Provision of finance support covering VAT, monitoring, closing accounts, treasury, FOI, budgets, reporting, support for moderation panels
Communications	8,550	Charge based on % headcount across council for communications, updating WEB pages and information
Contracts Procurement	30,551	Time split from Contracts team supporting Catering and other DSG contracts over and above income received from DSG
Information Management Technology	42,040	IT provision for 18 staff across Admissions, Home to school Liaison & Parenting support, IT charges cover infrastructure (lines, network, servers), license costs, IT equipment & maintenance, WEB development & maintenance and help desk support
Corporate Transport Unit	96,400	% split of contract values based on Special educational needs transport arrangements, arrnaging daily taxi's drop off and pick up, liaising with providers, reconciling and making payment of invoices.
Human Resources	24,970	Proportion of time spent supporting schools
Member Services	33,620	% charge of democratic service staff time for attending forum and providing support to executive meetings on DSG related items, registering minutes, creating of agendas and chasing papers.
Property - Buildings MU incl Facilities	17,720	Charge for office space occupied by CS staff DSG specific (28%) + recharges in
Reprographics	8,280	Internal printing from reprographics for Admission appeals and brochures, Forum papers, etc
Employee Services & Payments	620	Payroll staff time supporting DSG staff
Customer Services Operations	4,571	Wokingham Direct % calls taken Schools related including admissions queries
Total	459,720	

7 Central Expenditure

The table below lists items included in the Central Expenditure line of the financial summary above, showing adjustments made per the assumptions also above.

Central Expenditure	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
	Actual	Actual	Actual	Year 1	Year 2	Year 3	Year 4	Year 5
	£k	£k	£k	£k	£k	£k	£k	£k
Schools specific contingency		-125	368	340	295	167	38	
NQT induction		0	0	0	0	0	0	0
Early years contingency		164	0	229	229	229	229	229
Schools Kitchen Repairs		0	0	0	0	0	0	0
Insurance		565	638	638	670	703	739	775
Schools Admissions		182	176	281	281	281	281	281
Licenses & Subscriptions		247	284	284	298	313	329	345
Miscellaneous		-127	306	265	265	265	265	0
Servicing Schools Forum		0	0	4	4	4	4	0
Staff costs - supply cover		375	389	410	431	452	475	498
Support for ethnic minority groups		136	141	146	146	146	146	146
Total Central Expenditure		0	1,417	2,302	2,597	2,619	2,560	2,505
								2,275

8 Recommendation

That the report be noted and that this report becomes the basis for further future dialogue surrounding 2017/18 budget setting and budget process.

Donna Munday
Schools Finance Manager
July 2016



WOKINGHAM
BOROUGH COUNCIL

Meeting the needs of children and young people with Special Educational Needs and Disability in Wokingham

Responding to Appeals to SENDIST: a protocol for decision making and case management

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Introduction

Staff employed by Wokingham will always make every effort to work closely with parents and/or young people to resolve any differences of view that may result in an Appeal to SENDIST. This protocol takes as a starting point that all reasonable action to resolve disagreement will already have taken place prior to an Appeal being lodged and that staff will continue both informally and formally throughout any statutory process to resolve any outstanding issues.

In each case, where the parent or young person has appealed to the Tribunal, Wokingham will use this protocol at each stage of the process in order to clarify and review:

- the reasons why the local authority cannot agree with the parent or young person
- what processes need to be followed to ensure that the local authority responds in a timely and appropriate manner
- what resources are used in support of the local authority, ensuring an appropriate use of the public purse commensurate with any potential costs or complexity of the case

Rights of Appeal to the Special Educational Needs and Disability Tribunal (SENDIST)

Parents and young people over the age of 16, can Appeal to the Tribunal about:-

- a decision by a local authority not to carry out an EHC needs assessment or re-assessment
- a decision by the local authority that it is not necessary to issue an EHC plan following an assessment
- the description of a child or young person's SEN specified in an EHC plan, the special provision specified, the school or other institution or type of school or institution (such as mainstream school/college)specified in the plan or that no school or other institution is specified
- an amendment to these elements of the EHC plan
- a decision by the local authority not to amend an EHC plan following a review or reassessment
- a decision by the local authority to cease to maintain an EHC plan.

How Wokingham local authority will respond to Tribunal Appeals

1. A decision by a local authority not to carry out an EHC needs assessment or re-assessment

Statutory assessments involve a use of resources which can be costly. It is, therefore important that, like any other procedure, they do not take place unnecessarily. There are other more appropriate ways of collecting and collating

information which guides intervention and provision, where there is not a clear view that the child or young person will require special educational provision which is not normally available to the provider. Any Appeal lodged will be represented to the Statutory Education, Health and Care Panel (SEHCP) for a view as to whether to offer an assessment. Panel will bear in mind:

- the cost to the public purse of conducting an assessment
- the cost to the public purse of contesting the Appeal
- the likelihood of new information emerging which could impact

2. A decision by the local authority that it is not necessary to issue an EHC plan following an assessment

If decisions have been measured about which assessments should be undertaken then it is likely that the number of assessments which do not result in an EHC plan will be few. However, where this does happen, the local authority will issue an SEN Support Plan which it believes will be helpful in ensuring that the appropriate support is available at SEN Support stage.

The case will be presented to the SEHCP who will consider if the provision which is being set out as appropriate can reasonably be met from the resources normally available to the provider. The local authority will need to be able to demonstrate that this is the case. If it remains the view of the local authority, particularly if this view is upheld by the provider and the advice from the SEHCP is that the SEN Support Plan is appropriate, then the local authority will contest the Appeal. Decisions about the resources to be used to support this will be based on the likely impact on the public purse.

3. The description of a child or young person's SEN specified in an EHC plan, the special provision specified, the school or other institution or type of school or institution (such as mainstream school/college)specified in the plan or that no school or other institution is specified

It is envisaged that the new way of working will lead to much greater coherence in views about the description of need and the appropriate provision. Any disagreement which cannot be resolved will be presented to SEHCP. Wherever it is possible, the local authority would wish to support parental/young person preference in respect of provision. The local authority will contest parental/young person preference if it believes that the parental/young person preference:-

- is not compatible with the efficient education of other pupils
- is inappropriate for the needs identified
- is not compatible with the efficient use of public resources

Having taken a decision to contest the Appeal, the local authority will consider the resources it uses to do so dependent on the potential cost to the public purse.

4. An amendment to these elements of the EHC plan

As above

5. A decision by the local authority not to amend an EHC plan following a review or reassessment

The local authority will amend EHC plans where it believes it is appropriate to do so. This means that it would not consider it necessary to amend for a frivolous reason as there is a cost in amending a plan. The only reason the local authority would contest an Appeal in this area is if it believed that the changes being requested were not appropriate and would be likely to have a negative impact on the child or young person or lead to a change in provision which was not required or not appropriate. The SEHCP would be asked to consider the changes proposed by the parent/young person and the potential impact of making those changes. If a decision is taken to contest the Appeal, the local authority will consider the resources it uses to do so dependent on the potential cost to the public purse.

6. A decision by the local authority to cease to maintain an EHC plan

The purpose of an EHC plan is to provide resources which could not reasonably be provided from the resources ordinarily available to a provider. Wokingham local authority believes that, when a child or young person has successfully overcome the special educational needs which were preventing their appropriate progress and can now access a meaningful curriculum with the additional resources ordinarily available to their provider, it is appropriate to cease to maintain that EHC plan. Further, Wokingham LA believes that all parties should be encouraged to see this as a positive and meaningful event to be celebrated and recognised rather than treated as a loss. All decisions on 'ceasing to maintain' Appeals will be presented to the SEHCP. If a decision is taken to contest the Appeal, the local authority will consider the resources it uses to do so dependent on the potential cost to the public purse.

What resources will be used by the local authority to contest an Appeal?

The local authority will always liaise with the professionals and practitioners who know the child/young person including the current and potential provider. It will sometimes be necessary for additional information or reports to be gathered, though usually this would be an update since the decisions made should have been made on recent and relevant information.

Depending on the complexity of the case and the potential cost impact (both in actual costs and time costs), the local authority will use legal advice as appropriate. The local authority will not use unnecessary resources, nor seek to 'over burden' a process which should be seen as accessible to any unsupported parent. However, there may be cases where, although parents have not chosen to be legally

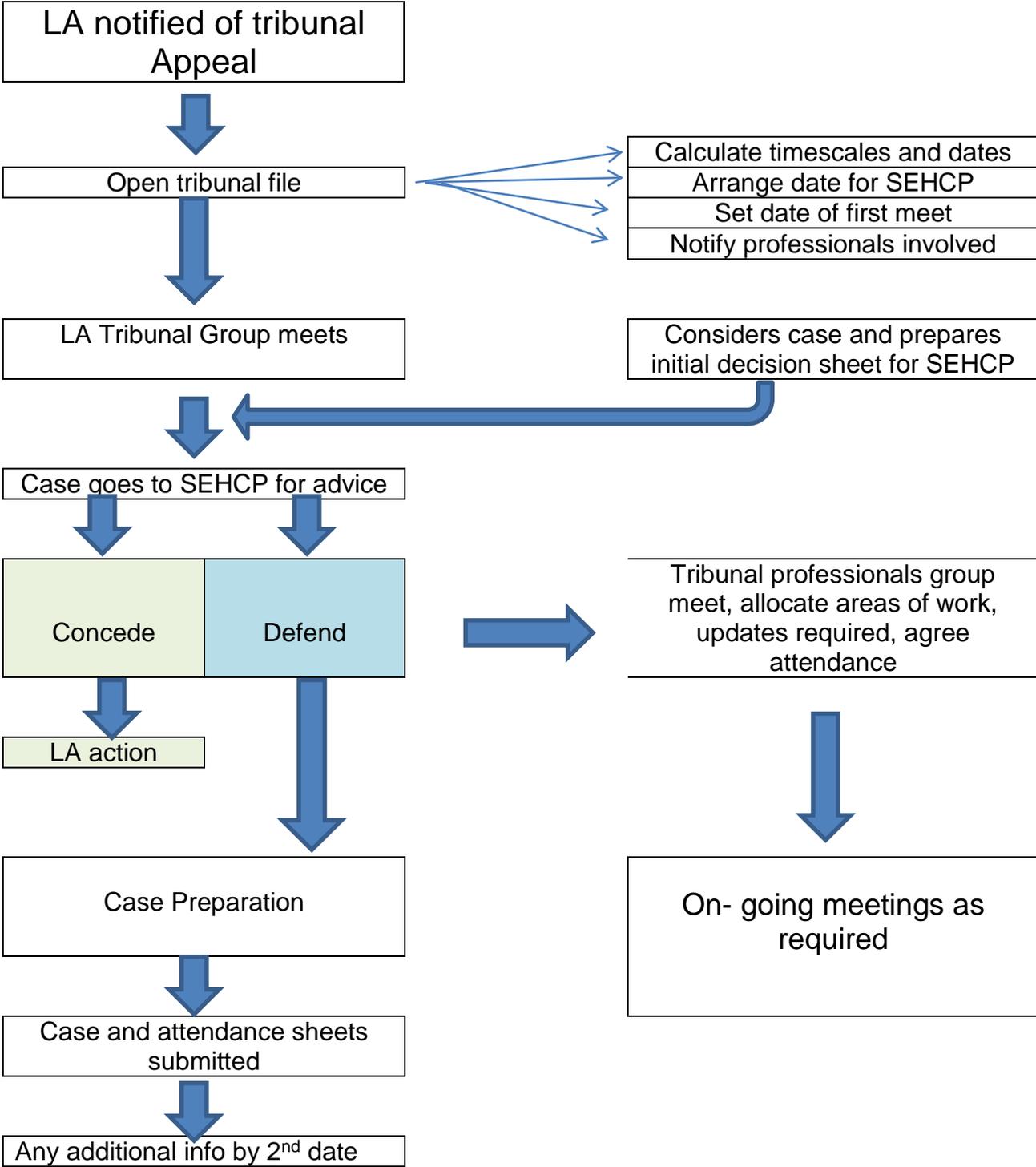
represented, the potential impact on the public purse is such that the local authority chooses to use legal representation in the confident belief that the role of the tribunal is to ensure that any parent or young person should be able to have their views and opinions appropriately and supportively heard at tribunal.

Management of Appeals

Appeals to tribunal are complex and involve deadlines which must be met. The Tribunal expects that, whilst an unsupported parent may sometimes make mistakes, a local authority must not. For this reason, Wokingham has a senior SEN Officer who manages the tribunal process as part of their day to day role to ensure clarity, coherence and compliance. For ease, this SEN officer is referred to in the rest of this guidance as the Tribunal Officer (TO). Tribunals will impact on a number of officers and it is critical, therefore, that all staff follow some guidelines to ensure that all paperwork and deadlines are secure and that the person managing the process is aware of all issues and communications which impact on the case. This is of particular importance since the TO will have a full range of duties of which tribunals is only one and so will frequently be out of the office. All staff, therefore **must**:

- not remove any document from the Tribunal file, except to photocopy and immediately return to file
- ensure the Tribunal file is kept in the designated cabinet when not in immediate use
- copy the TO in to all emails and record of telephone conversations which are about the subject of the tribunal
- place all documents, notes etc which relate to the subject in the designated box file held by the TO. Action slips recording any action must be attached to avoid unnecessary duplication/confusion

Tribunal Management Process



Appendix A

Tribunal Decision Making Record

Reason for Appeal	No assess	No EHCP	Description	Provision		Amends	No to Amends	Cease to M
Date registered		Was Appeal expected?		Y	N	Have negotiations/meets etc have taken place?		
List of meetings/other actions								
Areas of disagreement			Reason for LA view			Impact level of losing Appeal		
EHC Panel Advice to Local Authority								
DATE		LA decision						

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Appendix B

Stage 2 - decision making rationale and ongoing case review

Are parents legally represented?	Y		N		If so by whom?			
Are we going to be represented?	Y		N		Who will be the contact?			
Rationale for representation	Complexity of case				Potential cost		Other	
Predicted costs of representation				5 year predicted cost of losing the case				
Are there areas where we can concede					Impact of conceding			

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Appendix C

Stage 3 - review meetings/ ongoing

Date of meeting 1	Present		
Issues Discussed	Action required	By	When
Decision to oppose remains?			
Yes because		No because	

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Date of meeting 2	Present		
Issues Discussed	Action required	By	When
Decision to oppose remains?			
Yes because		No because	

Date of meeting 3		Present			
Issues Discussed		Action required		By	When
Decision to oppose remains?					
Yes because		No because			

Appendix D

Tel: 0118 9746221 (Direct Line)
Email: Pam Chomicz@wokingham.gov.uk
Fax: 0118 9351717
Date:

Pam Chomicz: Tribunal Officer

Children's Services

Highwood Annexe

Fairwater Drive

Woodley

Berkshire

RG5 3RU

Dear

Name of child and d.o.b address

This letter is to inform you that an Appeal has been made to the special Educational Needs and Disability Tribunal (SENDIST) on behalf of the child/young person named above. I am contacting you because I believe that they are known to you and the local authority may be requesting updated information and/or your presence as a witness.

When the local authority receives a notice of Appeal it puts in place a protocol which ensures that the decisions it makes are equitable and appropriate. I am enclosing with this notification some information which describes what happens next and how you may be involved and the expectations of you. I hope you find this helpful but please contact me if you have any questions.

If the decision is that we will be opposing the Appeal we will hold a meeting on XXXX at YYYY. The meeting will be held at ZZZZ. I am setting this date now so that you will have time to amend your diary or arrange a suitable replacement. At this first meeting we will schedule in further meetings so it will be helpful if you could bring your diary with you. In the event of the local authority deciding not to oppose the Appeal I will contact you to inform you that there will be no further action.

Appeals to SENDIST are time consuming and complex. They are governed by strict timescales to which the local authority must adhere. It is a good idea to build in time for meetings and reports and it would be helpful for you to inform your manager of the Appeal at this stage.

Yours sincerely

Pam Chomicz
Tribunal Officer
Children's Services - Highwood Annexe

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Schools Forum Forward Plan 2016		
19	October	Revenue Monitoring
		SEN Alert
		Draft Proforma for Submission to EFA
		Consultation Discussion / Responses
14	December	Revenue Monitoring
		Draft 2017/18 Budget
18	January	Revenue Monitoring
	2017	Final Proforma submission
		SEN Alert
		Draft 2017/18 Budget - with Indicatives
		Indicative Budgets sent out to schools
22	February	
29	March	Revenue Monitoring
		Final 2017/18 Budget
24	May	Revenue Monitoring
		Outturn 2016/17
		SEN Alert
TBC	July	Revenue Monitoring
		5 Year Plan update

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