

# Schools Forum Agenda

Thursday, 1 October 2015

**4.30 pm – 6.30pm** , Civic Suite - room 4

Lewisham Town Hall

London SE6 4RU

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Item	Pages
<b>1. Apologies and Acceptance of Apologies</b>	
<b>2. Minutes of the Meeting - 4 June 2015</b>	1 - 5
<b>3. Matters Arising</b>	
<b>4. Annual Internal Audit Report</b>	6 - 12
This report provides details of the auditors finding during the year.	
<b>5. Annual Health and Safety Report</b>	13 - 18
This report provides details of the auditors finding during the year.	
<b>6. Deferred Admissions</b>	19 - 22
Late in the Summer Term an email consultation was undertaken amongst Forum members on Deferred Admissions. The report looked at the financial consequences for schools of parents exercising their right to defer admission until their child reaches compulsory schools age. It then considered whether financial support should be provided. A number of members voted on the paper but not enough to make a quorate decision. The paper is now brought back to the Forum.	
<b>7. National Funding Formula</b>	23 - 25
The Conservative Party manifesto for the 2015 general election stated that the party would “make school funding fairer”. Since the election The Education Secretary has stated that proposals will be brought forward and consulted on, although the changes will not be implemented by 2016-17. The most likely scenario is any proposals will be implemented in 2017-18 and this paper looks at the possible impact on Lewisham.	

**8. ISOS High Needs Funding Report** 26 - 34

The Department for Education (DfE) last year commissioned research into High Needs funding arrangements and practices. The research team were asked to suggest ways in which it might be improved. This report looks at those findings and assesses the possible impact on Lewisham.

**9. Financial Update & Budget Monitoring** 35 - 40

This report updates members on the latest financial events and looks at the monitoring position.

**10. Any Other Business**

**Dates of Future Meetings**

10 December 2015  
4 February 2016 (provisional)  
17 March 2016

All meetings 4.30 to 6.30

## LEWISHAM SCHOOLS FORUM

### Minutes of the meeting held on Thursday 4th June 2015

Membership (Quorum = 40% i.e. 9)     ✓ = present     ✗ = absent     a = apologies

		Attendance				
		25/09	11/12	05/02	19/03	04/06
<b>Primary School Headteachers</b>						
Liz Booth	Dalmain	✗	✓	✗	a	✓
Paul Moriarty	Good Shepherd	✗	✗	✗	✗	✗
Michael Roach	John Ball	✓	✗	✓	a	✓
VACANT						
VACANT						
<b>Nursery School Headteacher</b>						
Nikki Oldhams	Chelwood	✓	✓	a	a	a
<b>Secondary School Headteachers</b>						
Anne Potter	Addey & Stanhope	✓	✓	✓	✓	✓
Bob Ellis	Conisborough College	✓	✓	a	a	✓
David Sheppard	Leathersellers Federation	✓	✓	✓	✓	✓
Carolyn Unsted	Sydenham	✓	✓	✓	✓	a
<b>Special School Headteacher</b>						
Lynne Haines (Chair)	Greenvale	✓	✓	✓	✓	✓
<b>Pupil Referral Unit Headteacher</b>						
Liz Jones	Abbey Manor	a	✓	✓	✓	✓
<b>Primary &amp; Special School Governors</b>						
Keith D'Wan	Athelney	a	✓	✓	a	✓
Dame Erica Pienaar (Vice-Chair)	John Ball	✓	a	✓	✓	✓
Mark Simons	Coopers Lane	✗	✗	✗	✗	✗
<b>Secondary &amp; Secondary Special School Governors</b>						
Pat Barber	Bonus Pastor		a	✓	a	a
James Pollard	Addey & Stanhope	✗	✓	✗	✗	✗
VACANT	Special School					
<b>Academies</b>						
Declan Jones	Haberdashers' Aske's	✓	a	a	✓	✓
<b>14-19 Consortium Rep</b>						
Theresa Williams	LeSoCo	✗	✗	✗	✗	✗
<b>Early Years Rep</b>						
Cathryn Kinsey	Clyde Nursery	✗	✓	✓	a	a

Diocesan Authorities						
Rev Richard Peers	Southwark Diocesan Board of Education	*	*	*	*	✓
Stephen Bryan	Education Commission	a	a	*	*	✓

Also Present	
Alan Docksey	Head of Resources & Performance
Dave Richards	CYP Group Finance Manager
Hayden Judd	Principal Accountant
Brian Collymore	HR Advisor
Janita Aubun	Clerk

### Apologies for Absence

Apologies were received from Nikki Oldhams, Carolyn Unsted, Pat Barber, Cathryn Kinsey & Frankie Sulke.

#### 1. Election of Chair to Forum

Lynne Haines elected as School's Forum Chair.

#### 2. Minutes of Meeting held 5 Feb 2015 and 19 Mar 2015

5 February minutes agreed.

19 March minutes:-

- Item 5, Occupational Health – Forum informed that once through scrutiny, schools will be advised of the SLA contract and Diane Parkhouse, HR Advisory Manager, will be informing schools.
- Item 6, Financial Update & Budget Monitoring Report – Forum requested officers follow up action into the Rushey Green business rates backdated bill.

#### 3. Matters Arising

No other matters arising.

#### 4. Schools Sickness Absence Report

The Forum asked officers to obtain comparable information on school absences from those schools who are not on the Lewisham payroll.

The Forum asked officers if they can in the future help reduce the number of returns giving no reason for absence.

The Forum noted the report

## **5. End of Year Financial Position and the Balance Control Mechanism**

The Forum asked officers to confirm that they would be monitoring the licensed deficits at Sedgehill and the monitoring would be included in the budget monitoring report the Forum receive.

The Forum emphasised that they would like to see a detailed summary of schools budget plans at their next meeting , so they can assess whether schools are running in-year deficits and to what extent.

The Forum agreed the following recommendations:

- 1) Note the school balances.
- 2) Agree not to cap any school balances.
- 3) Schools with an excess balance be asked for a return in October detailing progress on their spending plans.
- 4) Agree to redistribute the balance of the maternity mutual fund per pupil numbers.
- 5) Agree that there should be a new standardised budget monitoring template devised for returns to the LA – to commence Autumn Term.

## **6. Schools Forum Constitution**

The Forum agreed the revised constitution.

The Forum agreed that the term of office for all members would start today, 4 June 2015.

The Forum emphasised their desire that all type of schools and provision were fairly represented at meeting.

The Forum asked officers that they approach Christ the King Sixth Form College to consider the 14-19 Consortium representation vacancy.

Officers were asked to ensure there is an annual review of the constitution in the work plan of the Forum.

The Forum agreed that they would decide at each meeting whether to accept apologies for absences at each meeting.

## **7. Scheme of Delegation**

Forum agreed the following recommendations:-

- 1) Annual review by Governors of a Register of Interests.
- 2) Schools are recommended to provide Governors with a report showing combined payments of over £10K within any financial year.
- 3) Current advised tender limit is confirmed.
- 4) Schools be notified that they can set lower tender limits.

## 8. Any Other Business

Ann Potter, Secondary School Headteacher representative, is resigning from Schools Forum.

Forum thanked Anne for all the hard work she has carried out during her term of office on the School's Forum.

No other business raised.

Meeting closed 6pm

Date of next meeting 01 October 2015

## SCHOOLS FORUM ACTION SUMMARY

ITEM	ACTION TO BE TAKEN	OFFICER(S) RESPONSIBLE FOR ACTION	OUTCOME/CURRENT POSITION
<b>Minutes of 19 March 2015</b>	Seek to fill Vacant Special School Governor position for Forum.	Governors' Services	Pending
	Follow up action re. Rushey Green backdated NNDR bill.	Finance	On-going

<b>Schools Forum 19 March 2015 - Annual Internal Audit Report</b>	Clarification to Forum regarding payment to individuals and its process.	Diane Parkhouse	Pending
<b>Schools Forum 19 March 2015 - Financial Management</b>	A report to be brought to Forum on Alternative Provision.	Sue Tipler	Pending
<b>Item 5 – Budget Plans 2015 - 2018</b>	Position update for Forum.	Finance	For October Forum

# Agenda Item 4

Schools Forum  
1 October 2015  
Agenda Item 4

LEWISHAM SCHOOLS FORUM		
Report Title	Annual Internal Audit Report 2014/15	
Key Decision	No	Item No. 4
Ward	ALL	
Contributors	Head of Corporate Resources	
Class	Part 1	Date: 1 October 2015

## 1. Purpose of the report

- 1.1. This report presents members of the Schools Forum with a summary of the 2014/15 internal audit work in schools.

## 2. Recommendations

- 2.1. It is recommended that the Schools Forum note the this report.

## 3. Background

- 3.1. Each fiscal year (April to March), in accordance with the internal audit plan approved by the Council's Audit Panel, approximately one third of Lewisham schools are audited. All schools are audited once every three years on a rotational basis.
- 3.2. The Council's internal audits of schools for the 2014/15 year were conducted by the Royal Borough of Greenwich under an SLA agreement with the Council.
- 3.3. The scope of each audit reviews the key risk and control areas for effective financial governance of the resources available to the school. These are: Procurement; Income; Asset Security; Governance; Budget Monitoring; Banking; Payroll; Recruitment; and Data Security.
- 3.4. All audits conclude with a report and an assurance opinion that is shared with the Council and the School's Governors and Senior Management. The assurance opinions used by the Council are: Substantial; Satisfactory; Limited; or No assurance. Substantial and Satisfactory are regarded as positive with Limited or No as negative. A fuller description of these opinions is provided at Appendix 2.
- 3.5. Internal audit report on an exception basis (i.e. recording only areas for improvement, not all that is working well). Within each audit report where areas for improvement are noted recommendations are made. There are rated High, Medium, or Low and management record the action by when and by whom the recommendations will be addressed. A fuller description of the High, Medium, and Low recommendations is provided at Appendix 2.

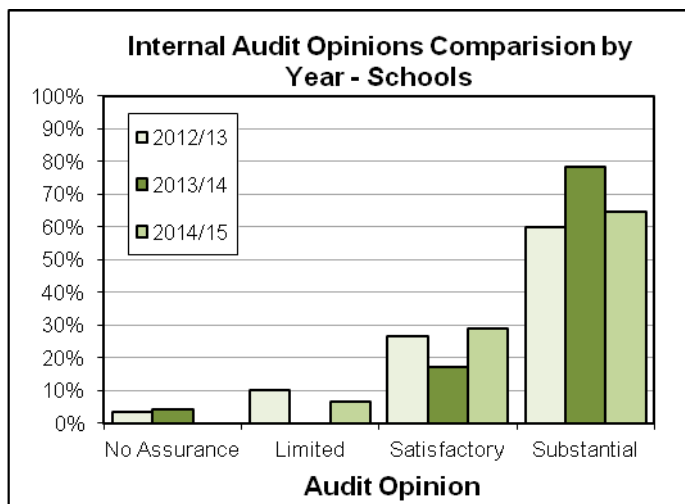


- 3.6. In addition to the full audits, any school in receipt of a negative assurance opinion (Limited or No Assurance) is also subject to a follow-up audit to monitor the implementation of agreed internal audit recommendations.

**4. Summary of work completed**

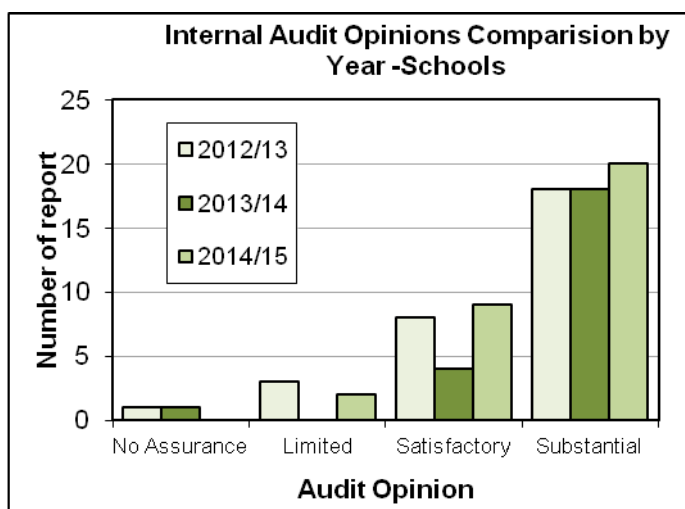
- 4.1. In 2014/15 thirty one school internal audits were undertaken. This work concluded with: twenty substantial; nine satisfactory; and two limited assurance opinions. There were no audits with No assurance. Overall in respect of the internal control framework for schools in 2014/15 this is again another positive year.
- 4.2. An overview of how this distribution of assurance compares to the previous two years is set out below. The full list of schools audited, the assurance opinion and number of recommendations is provided in Appendix 1.

**Schools**



Although the percentage of 'Substantial' reports has decreased from the previous year, the percentage of positive opinion reports issued overall remains high.

For the first time in three years, there were no 'No Assurance' opinion reports issued.



2014/15 was a busier year on the schools audit from with 31 reviews completed compared to 23 in the prior year.

- 4.3. In addition to the scheduled audits, due to a Limited assurance opinion, one follow-up audit nine months after the main audit was completed in 2014/15. This identified that of the original 15 recommendations ten had been implemented and five were in progress and being implemented.
- 4.4. Overall in 2014/15 schools have been issued with more recommendations and fewer substantial assurance opinions. We changed auditors for this year and this rotation may be contributing to this change – fresh eyes and more individual presentation of recommendations (rather than grouping them). At the school level this should make it easier to track and implement individual actions required. This has resulted in more recommendations being overdue and has been raised at the Audit Panel. Further analysis of the position in respect of recommendations received and progress with agreed actions is being undertaken by CYP Finance.
- 4.5. Each school is different and the internal audit recommendations are particular to the circumstances of each school. However, given the common risk areas that the audits cover it is possible to look for common areas for improvement. As reported in previous years the

common areas for improvement identified in 2014/15 continue to be in the areas of:

- Procurement practice – including getting correct quotes / tenders, ordering and receipting, as well as the use of procurement cards.
- Budget monitoring – in particular complete, timely and accurate reporting and authorisation for larger transactions (e.g. virements and use of contingencies).
- Asset security – maintaining registers for all assets and ensuring that stock checks are undertaken regularly with additions and disposals recorded (particularly for technology items).
- Payroll – ensuring background checks and tax status are checked before finalising employment.

- 4.6. The school internal audit plan for 2015/16 has been agreed, the Royal Borough of Greenwich contracted, and the audits booked in with schools.

For further information on this report please contact:

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or

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Appendix 1 – 2014/15 School Internal Audits

Lead Dir.	School	Assurance level given	H	M	L	Areas / Risks tested during the review	Date of final report
SCH	Elfrida Primary 2014-15	Limited	1	13	2	Governance, Budget Monitoring, Procurement, Income, Banking, Asset Management, Recruitment, Payroll, and Data Protection	05/03/15
SCH	St Bartholomew's CE Primary 2014-15	Limited	1	14	6	As above	15/09/14
SCH	All Saints Primary 2014-15	Satisfactory	0	6	2	As above	11/03/15
SCH	Brent Knoll - Special - 2014-15	Satisfactory	1	8	10	As above	19/12/14
SCH	Christ Church CE Primary 2014-15	Satisfactory	0	10	5	As above	24/09/14
SCH	Grinling Gibbons Primary 2014-15	Satisfactory	1	3	5	As above	31/12/14
SCH	Haseltine Primary 2014-15	Satisfactory	0	8	2	As above	22/10/14
SCH	New Woodlands (inc Primary PRU) 2014-15	Satisfactory	0	10	7	As above	30/10/14
SCH	St James Hatcham CE Primary 2014-15	Satisfactory	1	8	3	As above	26/02/15
SCH	St Winifreds Catholic Infants 2014-15	Satisfactory	0	5	5	As above	24/02/15
SCH	Ashmead Primary 2014-15	Substantial	0	2	3	As above	24/11/14
SCH	Baring Primary 2014-15	Substantial	0	1	0	As above	11/06/14
SCH	Beecroft Garden Primary 2014-15	Substantial	0	0	1	As above	12/06/14
SCH	Brindishe Lee Primary 2014-15	Substantial	0	1	0	As above	08/12/14
SCH	Childeric Primary 2014-15	Substantial	0	2	5	As above	31/10/14
SCH	Coopers Lane Primary 2014-15	Substantial	0	3	2	As above	26/02/15
SCH	Downderry Primary 2014-15	Substantial	0	0	2	As above	23/05/14

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Lead Dir.	School	Assurance level given	H	M	L	Areas / Risks tested during the review	Date of final report
SCH	Eliot Bank Primary 2014-15	Substantial	0	1	4	As above	01/04/15
SCH	Gordonbrock Primary 2014-15	Substantial	0	2	1	As above	01/04/15
SCH	Greenvale - Special 2014-15	Substantial	0	4	6	As above	04/03/15
SCH	Holy Trinity CE Primary 2014-15	Substantial	0	3	2	As above	09/10/14
SCH	John Ball Primary 2014-15	Substantial	0	1	0	As above	18/06/14
SCH	Kelvin Grove Primary 2014-15	Substantial	0	3	2	As above	24/02/15
SCH	Perrymount Primary 2014-15	Substantial	0	5	2	As above	27/03/15
SCH	Sir Francis Drake Primary 2014-15	Substantial	0	1	0	As above	25/06/14
SCH	St John Baptist CE Primary 2014-15	Substantial	0	0	0	As above	27/06/14
SCH	St Margaret's Lee CE Primary 2014-15	Substantial	0	2	3	As above	19/12/14
SCH	St Saviours RC Primary 2014-15	Substantial	0	3	4	As above	24/04/15
SCH	St William of York RC Primary 2014-15	Substantial	0	2	3	As above	20/01/15
SCH	St Winifred's Catholic Junior 2014-15	Substantial	0	1	1	As above	21/05/14
SCH	Rangefield School - Procurement Audit	Satisfactory	Draft			Procurement, Governance and Budget Monitoring only	

Lead Dir	Audit Followed-up	Opinion	Final Rpt	F/up Rpt Date	Implemented	In Progress	Superseded	Not Implemented	Total
SCH	St Bartholomew's CE Primary School	Limited	15/09/14	02/07/14	10	5	-	-	15

## Appendix 2 – Internal audit definitions

The definitions of the assurance opinions are in the table below.

Level	Definition
Substantial Assurance ★	A strong framework of controls is in place to ensure that the service area is more likely to meet their objectives. In addition, the controls in place are continuously applied or with only minor lapses.
Satisfactory Assurance ●	A sufficient framework of controls is in place, but could be stronger to improve the likelihood of the service area achieving its objectives. In addition, the controls in place are regularly applied, but with some lapses.
Limited Assurance ▲	There are limited or no key controls in place. This increases the likelihood of the service area not achieving its objectives. Where key do controls exist, they are not regularly applied.
No Assurance ■	There is no framework of key controls in place. This substantially increases the likelihood that the service area will not achieve its objectives. Where key controls do exist, they are not applied.

In addition to the assurance opinion, for each recommendation made a category of importance is given. The table below provides the definitions of these categories.

<b>High</b>	It is crucial that this recommendation is implemented immediately. This will ensure that service area will significantly reduce its risk of not meeting its objectives.
<b>Medium</b>	Implementation of this recommendation should be done as soon as possible, to improve the likelihood of the service area meeting its objective.
<b>Low</b>	Implementation of this recommendation would enhance control or improve operational efficiency.

# Agenda Item 5

Schools Forum

1 October 2015

Agenda Item 5

LEWISHAM SCHOOLS FORUM		
Report Title	Annual Health & Safety Report 2014/15	
Key Decision	No	Item No. 5
Ward	ALL	
Contributors	Head of Corporate Resources	
Class	Part 1	Date: 1 October 2015

## 1. Purpose of the report

- 1.1. This report presents members of the Schools Forum with a summary of the 2014/15 Health & Safety (H&S) work in schools.

## 2. Recommendations

- 2.1. It is recommended that the Schools Forum note this report.

## 3. Background

- 3.1. Up to 2014/15, each academic year (September to July) approximately one quarter of Lewisham schools receive a full audit. All schools are audited once every four years on a rotational basis.
- 3.2. In addition, on an annual basis each school is requested to complete a self-assessment of their H&S arrangements. This is partly for assurance purposes but also to maintain awareness of H&S matters in schools.
- 3.3. The scope of each audit reviews the key risk areas for effective management of H&S in the school. These are: Workplace / Site; Job Specific; Chemical / Hazardous materials; Work Activity / Equipment; Occupational Health & Welfare; and H&S Management. Within each of these areas specific risks are considered. These are detailed in Appendix 1.
- 3.4. All audits conclude with a report and an assurance opinion that is shared with the Council and the School's Governors and Senior Management. The H&S assurance opinions used by the Council are: Excellent; Good; Weak; and Poor. Excellent and Good are regarded as positive with Weak or Poor as negative. A fuller description of these opinions is provided at Appendix 2. The self assessment reviews report as a percentage of H&S practices evidenced as in place.
- 3.5. H&S report on an exception basis (i.e. recording only areas for improvement, not all that is working well). Within each audit report where areas for improvement are noted recommendations are made.

There are rated High, Medium, or Low and management record the action by when and by whom the recommendations will be addressed.

- 3.6. The Council's H&S audits of schools for the 2014/15 year up to January 2015 were conducted by the Corporate H&S Team under an SLA agreement with the Council. This approach was then stopped following changes to the Council's corporate H&S arrangements and new arrangements put in place to take effect for 2015/16. These have been presented to and discussed by the Schools Forum in 2015.

#### 4. Summary of work completed

##### Full H&S audits

- 4.1. In 2014/15 seventeen audits were planned with five completed before the arrangements changed in January 2015. These assurances from these audits were:

School	H&S arrangements	H&S Compliance
<b>Abbey Manor</b>	Excellent	Good
<b>Baring</b>	Good	Weak
<b>Dalmain</b>	Excellent	Good
<b>Greenvale</b>	Excellent	Excellent
<b>Haseltine</b>	Good	Excellent

- 4.2. The one weak assessment was around compliance with the arrangements in place. In particular, in respect of need for better risk assessments, procedures and records for activities to do with maintenance of the premises and administration of medication.

##### H&S Self-Assessments

- 4.3. In 2014/15 from all schools, 45 H&S self-assessment returns were completed. Of these 43 were analysed in more detail (two had not scanned fully). All returned a positive (over 75%) view of H&S practices in their school. This is consistent with previous year returns. A table with the schools from whom returns were received and their scores is provided at Appendix 3.
- 4.4. Of the 43 analysed we had score for 35 from 2013/14. A year on year comparison identified that 23% rated themselves weaker in 2014/15; 27% the same; and 57% as having improved in 2014/15. For those



that scored themselves lower the differences were small (less than 5%). While those that rated themselves as improved showed better numbers, up to 15%.

4.5. While recognising each school circumstances are different, the H&S audit recommendations around common risk areas does enable us to look for common areas for improvement. From the analysis of the H&S assurance work completed in 2014/15 the common areas for improvement identified were:

- Risk Assessments: across a variety of H&S risks, schools recognised the need to ensure risk assessments are up to date, regularly reviewed and local procedures for managing the risks communicated.
- H&S Training: while the Council offers Governors training and a full suite of courses throughout the year, a number of schools identified a lack of take up as an issue impacting their H&S arrangements.
- Stress assessments / audits: was a particular risk that a number of schools highlighted in their self-assessments where consideration is required.
- Trained Assessors: for the risks of working at height, manual handling, display screen equipment and personal evacuation plans - a number of schools identified the need to have access to trained assessors to be able to fully assess these risks.
- Maintenance inspection records and incident reporting: while all schools record this as being done, some highlighted that the recording and reporting of these was not always complete and could be improved.
- Business Continuity Planning (BCP): a number of schools recognised that their BCPs were neither complete, up to date nor had been recently tested and this was an area for improvement.

4.6. Nonetheless, and noting these specific areas for attention and action to continue to improve, overall the combination of generally positive full audit opinions and high self-assessment scores indicates that schools are moving forward positively and with confidence in respect of H&S.

For further information on this report please contact:

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Appendix 1 – H&S Risks

Workplace / Site Related	Job Specific	Chemical & Hazardous Agents	Work Activity & Equipment	Occupational Health & Welfare	Health & Safety Management
<b>Building Maintenance</b> <ul style="list-style-type: none"> <li>• Asbestos</li> <li>• Confined spaces</li> <li>• Construction</li> <li>• Electricity</li> <li>• Fire</li> <li>• Gas</li> <li>• Glazing</li> <li>• Legionella</li> </ul> <b>First Aid</b> <ul style="list-style-type: none"> <li>• Paediatric</li> <li>• Emergency</li> <li>• First Aid</li> </ul> <b>Site Specific</b> <ul style="list-style-type: none"> <li>• Curriculum Sport</li> <li>• Educational Visits</li> <li>• PE Equipment</li> <li>• Play Equipment</li> <li>• Playgrounds</li> <li>• Ponds</li> <li>• Security</li> <li>• Swimming Pools</li> </ul> <b>Workplace Environment</b> <ul style="list-style-type: none"> <li>• Heating</li> <li>• Housekeeping</li> <li>• Lighting</li> <li>• Toilets</li> <li>• Ventilation</li> </ul> <b>Signs &amp; Signals</b>	Administration of medication  Display screen equipment  Lone working  Manual handling  Moving & handling people  Noise  Personal Protective Equipment  Violence & Aggression	Batteries  Chemical & Substances  Flammable Liquids <ul style="list-style-type: none"> <li>• Petrol / Diesel</li> </ul> Radiation  Waste <ul style="list-style-type: none"> <li>• Clinical</li> <li>• Hazardous</li> </ul>	Driving for Work  Imported OH&S risks <ul style="list-style-type: none"> <li>• Goods/Services</li> <li>• Events</li> </ul> Lifting equipment  Managing contractors  Passenger lifts  Permit to work  Pressure systems  Working at height  Work equipment	Alcohol & drugs  Infectious diseases <ul style="list-style-type: none"> <li>• Bites (human)</li> <li>• CCD's</li> <li>• Bodily fluids</li> </ul> Management of personal safety <ul style="list-style-type: none"> <li>• CRB</li> </ul> Stress  International travel	<b>Governance</b> <ul style="list-style-type: none"> <li>• Statement of Intent</li> <li>• H&amp;S Board ToR</li> <li>• Roles &amp; Resp.</li> <li>• Doc. Control Mgmt.</li> <li>• H&amp;S Mgmt. Review</li> <li>• Legal &amp; Other Requirements</li> </ul> <b>Policies &amp; Guidance</b> <ul style="list-style-type: none"> <li>• H&amp;S Arrangements</li> <li>• Doc. Control Register</li> <li>• Hazard / Risk Assessment &amp; Control</li> <li>• Training</li> </ul> <b>Communications</b> <ul style="list-style-type: none"> <li>• Communication, Participation, Consultation &amp; Representation</li> <li>• Competence, Training &amp; Awareness</li> </ul> <b>Assurance &amp; Reporting</b> <ul style="list-style-type: none"> <li>• Incident reporting</li> <li>• Audit Requirements</li> </ul>

**Appendix 2 – Definition of H&S assurance opinions**

The table below explains the intent behind each of the four levels of H&S audit opinion.

<b>H&amp;S ASSURANCE OPINION</b>	<b>Adequacy of H&amp;S arrangements</b>	<b>Compliance with H&amp;S arrangements</b>
<b>EXCELLENT</b>	Robust framework of controls matched to risk ensures H&S objectives are likely to be achieved.	H&S controls are applied continuously or with minor lapses.
<b>GOOD</b>	Sufficient framework or key controls for H&S objectives to be achieved but could be stronger.	H&S controls are applied with some lapses.
<b>WEAK</b>	Risk of H&S objectives not being achieved due to the absence of key internal controls.	Significant breakdown in the application of H&S controls.
<b>POOR</b>	System of control not in place. Absence of basic H&S controls resulting in inability to meet objectives.	Absence of compliance with fundamental H&S controls.

**Appendix 3 – Summary of 2014/15 H&S self assessment returns**

Ref	School	H&S Policy	Welfare	Risk Assessments	Satutory Maintenance	Safety Inspections	Fire Safety / Emergency Planning	H&S Training	Education visits / events	Physical Education	Outside Areas	Total	Percentage score	13/14 percentage
	Model	10	26	47	6	8	19	8	7	5	12	148	100%	
1	Adamsrill	9	24	40	6	8	19	6	7	5	11	135	91%	
2	Addey and Standhope	10	26	44	6	8	18	8	5	5	12	142	96%	96%
3	All Saints CoE primary	10	22	47	6	8	19	8	6	5	11	142	96%	84%
4	Ashmead	10	26	47	6	8	19	8	7	4	12	147	99%	93%
5	Brindishe Lee	10	26	47	6	8	19	8	7	5	12	148	100%	100%
6	Brindishe Manor	10	26	47	6	8	19	8	7	5	12	148	100%	100%
7	Childeric	8	25	47	6	8	19	8	7	5	12	145	98%	99%
8	Clyde	10	25	43	6	8	18	6	7	4	11	138	93%	82%
9	Dalmain	10	25	46	6	7	18	7	7	3	11	140	95%	94%
10	Downderry	10	25	46	6	8	19	8	7	5	12	146	99%	92%
11	Drumbeat	9	23	47	6	4	19	7	5	5	12	137	93%	75%
12	Edmund Waller	9	21	41	6	8	12	5	5	5	9	121	82%	71%
13	Elliot Bank	9	26	47	6	8	18	8	7	5	12	146	99%	97%
14	Fairlawn	10	26	46	6	8	19	7	7	5	10	144	97%	
15	Gordon Brooke	9	25	47	6	8	18	8	7	5	12	145	98%	97%
16	Grinling Gibbins & Lucas V	10	26	47	6	8	17	8	7	5	12	146	99%	92%
17	Holy Cross	8	18	44	6	8	19	8	7	5	12	135	91%	86%
18	Holy Trinity	10	26	47	6	8	19	4	7	5	12	144	97%	100%
19	Joh Stainer	10	26	47	6	8	19	8	7	5	12	148	100%	100%
20	Kilmore	9	23	41	6	7	19	7	7	4	12	135	91%	92%
21	Myatt Garden	10	25	46	6	8	19	7	7	5	12	145	98%	99%
22	Perrymount	10	26	47	6	8	19	8	7	5	12	148	100%	96%
23	Rushey Green	10	26	46	6	7	18	6	5	5	12	141	95%	
24	Sandhurst Infants	9	26	42	6	8	18	7	5	5	12	138	93%	98%
25	Sandhurst Junior	10	23	47	6	7	19	7	7	5	12	143	97%	97%
26	Brindishe Green	10	26	47	6	8	19	8	7	5	12	148	100%	100%
27	Athelney	10	26	46	6	8	19	8	7	5	12	147	99%	93%
28	Elfrida	9	23	47	6	8	19	8	7	5	12	144	97%	
29	Holbeach	8	23	46	6	2	19	3	5	4	5	121	82%	
30	Torridon Infants	10	25	47	6	4	19	8	7	5	12	143	97%	91%
31	St Augustine's	9	25	44	6	7	19	6	7	5	12	140	95%	94%
32	St George's	10	22	45	6	8	19	8	7	5	12	142	96%	96%
33	St John the Baptist	10	26	45	6	8	19	8	7	5	12	146	99%	95%
34	St Margaret's Lee	10	26	46	6	7	18	8	7	5	12	145	98%	
35	St Mary's	10	26	47	6	8	19	8	7	5	12	148	100%	
36	St Stephen's	10	21	45	6	8	18	6	7	5	12	138	93%	94%
37	St William of York	10	25	43	6	8	19	8	7	5	12	143	97%	90%
38	St Winifred's	10	26	47	6	8	19	8	7	5	12	148	100%	100%
39	Stillness Juniors	9	26	44	6	8	19	7	7	5	12	143	97%	95%
40	St Joseph's	10	26	45	6	8	19	8	7	5	11	145	98%	
41	Torridon Juniors	10	23	45	6	8	17	7	3	5	12	136	92%	99%
42	Trinity	10	23	42	6	8	19	4	4	5	11	132	89%	83%
43	Turnham	10	24	46	6	6	18	4	7	5	12	138	93%	77%
	Bonus Pastor													
	St Francis Drake													

# Agenda Item 6

Schools Forum

1 October 2015

Agenda Item 6

LEWISHAM SCHOOLS FORUM			
REPORT TITLE	Deferred Admissions		
DECISION	Yes	Item No. 6	
CLASS	Part 1	Date	1 October 2015

## 1. Purpose of the report

Late in the Summer Term an email consultation was undertaken amongst Forum members on Deferred Admissions. The consultation considered the financial consequences for schools of parents exercising their right to defer admission until their child reaches compulsory schools age. It then considered whether financial support should be provided. A number of members voted on the paper but not enough to make a quorate decision. This report updates the original report and asks the Forum if financial support should be provided.

## 2. Recommendation

That the Forum agree that schools be funded for the school year for the small number of pupils who miss the October Census and the January Census by reason of having deferred admission until later in the school year.

## 3. Background

- 3.1 The School Admissions Code requires admission of all children in the September following their fourth birthday, but children do not reach compulsory school age until after their fifth birthday. There is flexibility for parents who do not feel their child is ready to start school before compulsory school age. This has been strongly supported by the DfE with a commitment from them to incorporating this as a right in the new Admissions Code. In effect, parents may defer the date their child is admitted to school until later in the school year following their fourth birthday, providing they do not defer beyond the point at which they reach compulsory school age, or beyond the start of the final term of that school year. Alternatively, their child may attend school part-time until they reach compulsory school age. This leads to the consequence for the school that a place is 'held' throughout the whole year but yet the pupil misses the October Census and appears during

the year. The DfE is also promoting strongly parental right to request delayed entry – that is entry a full academic year late and out of cohort. This does not lead to the same financial consequence for schools and so is not an issue for Schools Forum in the same way.

- 3.2 While the local authority has every confidence that primary schools cater well for summer born pupils through differentiated teaching and strategies to support transition from EYFS to KS1, there is a strong national lobby (supported by the government) concerned that children should not attend school until they are 'ready'. This is also promoted by some early years providers.  
For the current academic year there are 10 children who have deferred admission to later in the school year and have therefore missed the October Census. This tends to affect certain schools more than others. It is therefore worth considering as a Schools Forum compensating schools for this shortfall. Given the total number of pupils (only 10) the total funding foregone is forecast to be £48k which would fall next year(2016/17).

- 3.3 The original consultation report gave members three options to consider

To provide no funding  
Provide a school with funding for a year  
Provide a loan

#### **4 Financial Impact**

- 4.1 The schools budget is predominately based on the number of pupils on the October Census prior to the start of the financial year. The funding the school receives starts in the April following the census. There is no funding received by the school between the October census and the next March
- 4.2 There is provision within our own local funding scheme that if the January census is higher than the October census then the extra pupils will be funded. This is known as the January Uplift. This is the only adjustment allowed to the October census data under the national funding regulations. There is one slight proviso, in that the funding for the January Uplift is not paid until the following year. This is a result of the January actual numbers not being available by the time the school budgets are calculated and notified to schools.
- 4.3 The above adjustment is made on total numbers and there is no differential made between leavers, late joiners and deferred admissions. The net total is taken.

- 4.4 Financially a school would only be at a disadvantage if the pupil deferred admission is after the January count. This would not be the case if the pupil remains in a nursery attached to the school. Nursery funding is counted on a termly basis.
- 4.5 There is no difference for part time children as these are always counted as one.
- 4.6 The difference between a pupil who is on the census count and for those pupils whose admission is deferred will be that a school will not receive any funding in the following year providing the deferral is after the January count. They will not receive a full year's funding for the following financial year.
- 4.7 The basic entitlement for a reception class pupil is £3,700, plus the relevant proportion of deprivation. This on average equates to 25% of the basic entitlement.
- 4.8 The funding position is shown in the table below

	Pupil on October Count 2015	Pupil on January Count 2016	Funding			
			2015/16 £	2016/7 £	2017/8 £	Total £
Normal Admission	Yes	Yes	0	3,700	3,700	7,400
Deferred Admission but pupils joins school before January 2016 count	No	Yes	0	0	7,400	7,400
Deferred Admission but pupils joins school after January 2016 count	No	No	0	0	3,700	3,700

## 5 Proposals

The Schools Forum is not required to make provision for this, but given its scope to be a growing trend it is recommended that provision be made, while being kept under review.

The financial consequence for the DSG are small, of the pupil funding given to schools collectively it represents 0.02%.

For an individual school with two forms of entry one pupil would represent 0.16% of their funding.

## **6 Conclusion**

The exact number of deferred admissions is not known but may grow over the coming years given government policy. Currently the numbers and related costs are low. It is proposed for the current year to take the funding from the contingency. In the longer term it would need to come from the schools budget. As such it is recommended that if this proposal is agreed it is reviewed at a future Schools Forum meeting.

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# Agenda Item 7

Schools Forum

1 October 2015

Agenda Item 7

LEWISHAM SCHOOLS FORUM			
<b>REPORT TITLE</b>	National Funding Formula		
<b>KEY DECISION</b>	No	<b>Item No.</b>	7
<b>CLASS</b>	Part 1	<b>Date</b>	1 October 2015

## 1. Purpose of the Report

This report looks at the latest information on a possible new national funding formula for schools.

## 2. Recommendation

The School Forum note the report

## 3. Background

- 3.1 In its November 2010 education White Paper, the Coalition Government stated its intention to introduce a national formula. Describing the funding system as “opaque and extremely complex”, it set out its strategy and undertook consultations to refine the approach.
- 3.2 In March 2014, the then Government consulted on its funding proposals for 2015-16. These included making an additional £390 million funding available to what it described as the least fairly funded local authorities. There were 69 authorities in total who received funding. Alongside this was a proposal to maintain funding at ‘cash flat’ per pupil for all local authorities. The extra funding was reflected in the Dedicated School Grant (DSG) allocations for 2015/16.
- 3.3 The schools funding formula was also raised at the first education questions of the new Parliament, on 15 June 2015. The Education Secretary stated in response to the questions that the Government would bring forward proposals “in due course”, which would be subject to consultation.
- 3.4 The Secretary of State for Education, Nicky Morgan stated “It is clearly unfair that a school in one part of the country can attract over 50% more funding than an identical school elsewhere. That is why the Conservative party committed to making school funding was fairer in our election manifesto, and we will come forward with our proposals in due course. These are complex issues that we have to get right, so we will consult extensively”.
- 3.5 Further the minister said “But it’s not straight forward and in a climate where you don’t have lots of money, we have to do this in a way that deals with the problems but doesn’t cause lots of turbulence. We will have to look at the impact on areas that have been overly funded”.

**4. F40**

- 4.1 The f40 group represents 37 English local authorities with historically low funding for education. They have been campaigning for a fairer system for the allocation of funding for schools for many years. Their aim has been to influence a change in the way the government allocates funding to local education authorities and schools.
- 4.2 They feel that the existing funding model has no rationale and is unfair. They describe mainstream school funding as a 'mess' together with the introduction of the Minimum Funding Guarantee (MFG) and capping, they also feel there is no rationale for the funding of Early Years or High Needs either. They feel that the inconsistencies in funding for individual schools with similar characteristics across the country are too great.
- 4.3 They wish to see a national funding formula allocating the same funding for all mainstream pupils nationally. This, they feel, would resolve the problem of a child attracting very different levels of funding if they attend a school on one side of a local authority boundary rather than another.
- 4.4 There is now a real possibility that there will be a redistribution of funds between the Local Authorities with the highest per pupil funding to the lowest.
- 4.5 Lewisham is the 9th highest per pupil funded authority in the country. The F40 group now have significant representation in the Government and have put forward proposals where Lewisham would see a reduction of around 10% per pupil. The proposals would be over a three-year period but would present a significant management challenge for schools in Lewisham.

**5. Impact**

- 5.1 The F40 group have provided a model of the formula they would like to see implemented, each authority's funding has been calculated individually and for Lewisham the reduction is around 10% over three years. This equates to roughly £17m across Lewisham's maintained schools.
- 5.2 Whether ministers would go for an adjustment of this size it is unknown. In the past it they have shied away from reducing a local authority's funding. However the F40 group have a number of members who are MP's and some of these have been appointed as Parliamentary Private Secretaries to ministers. At the start of parliament there is more political potential for making major reform than when an election is imminent. There is a general view that implementation would not take place until 2017/18 but with a fixed term parliament this would allow a new funding system to bed down before the next general election is expected.
- 5.3 Alternatively ministers allocate extra funding to the DSG. They invested £390m in 2015/16. If we model the financial consequence of bringing every Local Authority to the inner London Average by investing £390m each year it would take over 25 years, which is not practical. The sum needed would be £10bn: the current

overall funding on the schools block is £30bn. Incidentally Lewisham is slightly below the inner London average amount per pupil (excluding the City of London).

- 5.4 Any redistribution would take place against a background where dialogue with schools indicates that they are experiencing greater difficulties in balancing their budgets. Of the schools returns received, 80% are predicting a fall in their balances in 2015/16. With the cost pressures, particular through the changes to Superannuation and National Insurance rates and cash frozen settlements, these cost pressures are likely to continue. The Institute of Fiscal Studies predict this to be around 12% over the 5 year life of this parliament or £17m in Lewisham schools.
- 5.5 It could be then that schools in Lewisham need to find savings of up to 20% over 5 years, which would need significant levels of planning and support.
- 5.6 Any downsizing at this level would involve significant severance costs and need for schools to have support from HR, School Improvement Support and Finance.
- 5.6 It could of course still be possible for ministers to introduce a School-level formula rather than a Local Authority level formula. This would lead though to significant changes in funding across different schools. The Institute of Fiscal Studies has in the past sought to model implications of a hypothetical national funding formula that sought to minimise numbers of big winner and big losers: 1 in 6 schools lose at least 10%; 1 in 10 gain at least 10%. It is felt the level of occurrence of the losses would be too great and it would be for the DFE to manage the turbulence and therefore a local authority level formula is more likely.

## **6. Conclusion**

The Dedicated Schools Grant funding arrangement is based on historical circumstances that were soundly built up originally but over time have been adjusted for by numerous grant decisions. The original basis of the funding has now been lost and a series of anomalies suggest that funding system is now in need of change. The current debate has been around how unfair the funding is and how funding levels should be consistent across the country. It is important that the concept of different needs of local authorities is recognised with this.

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# Agenda Item 8

Schools Forum  
1 October 2015  
Agenda Item 8

Schools Forum			
REPORT TITLE	ISOS High Needs Funding Report		
KEY DECISION	No	Item No.	8
CLASS	Part 1	Date	1 October 2015

## 1. Purpose of the Report

The Department for Education (DfE) commissioned last year research into High Needs funding arrangements and practices. The research team were asked to suggest ways in which it might be improved. This report looks at those findings and assesses the possible impact on Lewisham.

## 2. Recommendation

The School Forum note the report

## 3. Background

3.1 Over the past few years there have been significant reforms to education funding arrangements. This has included changes to the way in which support for young people with High Needs have been funded.

3.2 The Children and Families Act 2014 places important new statutory duties on local authorities. These include replacing SEN statements and learning difficulty assessments with integrated 0-25 education, health and care needs assessments and plans and bringing parity of rights for those in early years settings, schools and post-16 institutions.

3.3 In the summer of 2014, the Department for Education (DfE) commissioned Isos Partnership to undertake research into the funding arrangements and practices. The research team were asked to analyse the reasons for differences between spending patterns in different local authorities and the options for changing the ways in which high-needs funding is distributed.

3.4 The full report was published in July 2015. A summary of the recommendations and comments can be found below. The full report can be found via this link

<https://www.gov.uk/government/publications/funding-for-young-people-with-special-educational-needs>

#### **4. The ISOS partnership report recommendations**

##### **4.1 National-to-local distribution of high-needs funding**

**Issue:-** The current funding is based on an historical amount per pupil for each Local Authority.

**ISOS Recommendation:-** The DfE should consider moving to a formula for the allocation of the high needs block to local authorities. They suggest a range of factors that might be used in such a formula, including factors related to deprivation, prior attainment, disability and children's general health.

**Comment:-** This could have a major impact for Lewisham and a more detailed analysis of this is provided in section 5 of this report

##### **4.2 How effectively schools are providing the first £6,000 of additional support**

**Issue:-** The first £6,000 of support to a high needs pupil is provided by the school out of the schools budget. This funding is not distinguishable as a discrete item within the budget but is assumed within the overall level of the budget. There is no set guidance on what should be provided within the £6,000.

**ISOS Recommendation:-** To reduce the funding inequities between schools which are highly inclusive and those which do not have a strong culture of inclusion, local authorities should work with their schools to agree a "core entitlement" that all schools in a local area will provide for children and young people with SEN as a matter of course. This agreement should be published as part of the local offer. The DfE should also consider publishing clearer national directions on this subject to provide a consistent national framework against which local offers and agreements might be developed. Greater local transparency, particularly if reinforced by sharper national direction, should have the effect of clarifying expectations of the system and create greater consistency in what schools should be looking to do within the first £6,000 of additional support.

**Comment:** specifying the expectations of schools will be helpful but uncertainty will remain while discussions focus on the notional £6,000 funding amount built into the current funding regime without it being clearly identifiable and this needs to be addressed.

##### **4.3 How well notional SEN budgets are functioning**

**Issue:-** The notional SEN concept isolates £6,000 funding for each High Needs pupils. As funding is allocated on the basis of proxy indicators it is not possible to prove this £6,000 within every school budget.

**ISOS Recommendation:-** The DfE should consider removing notional SEN budgets from the funding system for mainstream schools. We consider that setting out clearer expectations of what all schools should provide for pupils with SEN, communicating clearly how core funding is calculated, and a simple financial planning tool to guide schools' decisions about spending on SEN would mitigate the risk that the system is not yet mature enough in its approach to providing for SEN to enable notional SEN budgets to be removed.

**Comment:-** As the £6,000 is a notional amount it is not identifiable as a discrete sum for allocation to the High Needs block for each school. A change in the funding system will mean there will be winners and losers. However a move to clearly identifiable funding would be welcome.

#### 4.4 **Local authority practices in allocating money outside the formula**

**Issue:-** Schools are provided with extra funding over and above the £6,000. Local authorities allocate funding on different criteria.

**ISOS Recommendation:-** The DfE should consider providing clearer direction for local authorities on the circumstances in which they can provide additional funding outside the formula to schools, and a short menu of options for the criteria that may be used for allocating this. This would ensure greater consistency in practice and mitigate the risk that some highly-inclusive or small schools will be unable to meet the costs of the first £6,000 of additional support from their budgets.

**Comment:-** The needs of SEN pupils vary considerably even within a Local Authority. Local flexibility to determine the funding is essential to ensure the needs of the pupils are met.

#### 4.5 **Core funding for SEN in early years settings**

**Issue:-** There is uncertainty over the funding arrangements for children in early years settings with High Needs

**ISOS Recommendation:-** To address these issues local authorities should work with providers to establish clear expectations about the support pre-school settings are expected to provide from within their core funding, and the circumstances in which additional advice, training or resources will be provided.

The DfE should set out, through existing published resources or webinars, a practical reminder of the ways in which local authorities can fund SEN provision in pre-school settings. Much of this information is already available, and some local authorities are using it effectively. Nevertheless, there would be value in providing practical reminders.

#### 4.6 **Core funding for special schools, resourced provisions and SEN units pre-16**

**Issue:-** There is inconsistency in planning of specialist places and funding outcomes, leaving an increasing pressure on special school places.

Smaller highly specialist schools and those with highly-mobile populations are finding the new funding arrangement challenging.

**ISOS Recommendation:-** There should be a more explicit role for local planning and commissioning of places in specialist settings, in which local authorities, in collaboration with schools, would play a central role. We envisage that this would be an explicit commissioning role in respect of designated specialist places in state-funded special schools, in resourced provisions and units in mainstream schools, and in early years settings. For non-maintained special schools, we consider that there could be a small co-ordinating role for the EFA to play, informed by the commissioning decisions of the local authorities. This would be in line with local authorities' statutory duties, and would provide scope to plan provision strategically to meet in-year changes and longer-term needs. The DfE may wish to consider the steps to be put in place to enable local education systems to develop such approaches. We have also suggested that there should be a more explicit process for accessing capital funding to develop new SEN provision where it is needed. This last point applies equally to schools and post-16 institutions.

Local authorities should use these flexibilities, through their banding frameworks and partnership approaches, to prevent small specialist providers from becoming unviable due to short-term fluctuations in pupil numbers.

**Comment:-** This recommendation is along the lines of the current system. There needs to be sufficient capacity within Local Authorities for the commissioning process to take place. The funding needs to be linked to the planning process to meet the demand.

#### 4.7 Core funding for SEN post-16

**Issue:-** The funding for post 16 high needs is different from schools which causes confusion. Funding and needs do not always match.

**ISOS Recommendation:-** To address this issue, we propose that what is currently high-needs place-led funding for post-16 institutions (so-called "element 2") should be included in the formula allocations for mainstream post-16 providers. This option would preserve the principle of equivalence in SEN funding across the different pre- and post-16 funding systems. It is also aligned with what we are proposing in terms of reforming SEN funding in mainstream schools, and would thus ensure equivalence between the school and further education (FE) sectors.

Instead, we propose that places in SPIs should be funded at £10,000 per planned place, with top-up funding provided above this level, so that there is consistency with post-16 places in special schools and non-maintained special schools. We suggest that the same approach is used to fund designated resourced provisions and units in mainstream post-16 institutions.

**Comments:-** Aligning the methodologies more closely seems sensible but there is a danger of having winners and losers from this.

#### 4.8 **Top-up funding**

**Issue:-** There are inconsistent approaches to top-up funding within and across local authorities. The system had created additional bureaucracy.

**ISOS Recommendation:-** The DfE should develop and publish a set of principles or minimum standards for the effective operation of top-up funding. This could entail bringing together existing published material on top-up funding, but the DfE may wish to consider whether additional principles or standards would enable more effective approaches to top-up funding. Local authorities should publish information about their top-up funding arrangements, including both their banding or top-up values and their top-up practices, including named points-of-contact, timescales and review requirements.

Local authorities should establish processes for accessing practical advice, capacity-building support and top-up funding so that the statutory assessment process is not the sole means of accessing this support. Such approaches could be applied across early years settings, schools and post-16 institutions to foster dialogue, build capacity and secure better outcomes.

**Comment:-** Top-up values and banding is already in the public domain in Lewisham. While standard principles are welcome, as much flexibility locally is required by Local Authorities to determine funding is essential to ensure that pupils' needs are met. National principles may increase the costs of support.

#### 4.9 **Funding support for children and young people with very high needs**

**Issue:-** The needs of some pupils are so great that the costs fall on both Local Authorities and Health services, there is no clarity on how these costs should be allocated. Planning provision for these pupils is difficult as they are such a small cohort.

**ISOS Recommendation:-** The DfE should consider publishing joint guidance with the Department of Health (DH) and NHS England that clearly describes the role of clinical commissioning group (CCG) leads in SEN and sets out which aspects of provision should normally be funded by education services and which should be funded by health services.

The DfE should consider piloting sub-regional or regional approaches to joint strategic commissioning of provision for very high-need low-incidence SEN. Doing this in areas where there is a history of successful collaboration would provide a basis for testing more systematic regional partnerships.

**Comment:-** Further clarity in this area is needed and this proposal would be welcome. However LA negotiations with local CCG's mean that LA's benefit from CCG contributions towards other costs which might be lost through this process.



#### 4.10 Overall comments

Local Authorities that have a lack of school provision might need to be supported due to the cost of supporting placements outside of the local authority because development of local provision is not possible or at least challenging in terms of securing access to capital funds.

It is pleasing to see that consideration of the high needs block is not being undertaken in isolation from the schools block or the individual schools budget. Past decisions on the funding for high needs pupils have influenced the level of SEN in the schools budget. Some authorities have higher levels of notional SEN in the DSG which in turn sits along side a lower level of funding in the High Needs block. However the notional SEN is not a true indicator of spend on SEN and consideration of this issue needs to go further. Some authorities moved funding into the basic entitlement when the need across the authority was more general rather than variable between schools creating differences between authorities.

### 5 Possible impact of a change in the National-to-local distribution of high-needs funding (as described in section 4.1)

5.1 The current funding system was created in 2013/14 when the Dedicated Schools Grant was split into its three components parts, the schools block, early years block and high needs block. The way the high needs block was created was by taking for each Local Authority the expenditure as detailed in the S251 statement and determining which spending block the expenditure should fall in. (The S251 is the statement by which Local Authorities report their spending to the DFE). There have been a number of technical adjustments to the high needs blocks since then such as bringing the FE college high needs students into the funding system.

The High Needs block has not been converted to an amount per pupil but is quoted as an overall total. Since 2013/14 the funding has not increased for inflationary pressures and has stayed cash frozen. This represents a real terms cut of about 3%.

Increases to pupil numbers have only been recognised through a bidding process. The process starts in the Autumn term when Local Authorities ask for significant increases in pupil numbers in individual institutions. In the bidding processes for the 2015/16 financial year the significant increase had to be more than 10% of places commissioned at the individual institution. Consequently small increases in pupil numbers in each institution are not funded. The cost of which has to be borne within the High Needs block. For 2015/16 Lewisham received no extra funding for growth, with pupil growth around 3% this equates to a loss of funding of £1m.

5.2 The Lewisham High Needs Block is proportionally one of the highest in the country, the exact ranking depends on how you calculate our position. The table

below calculates it in three ways. Lewisham's High Needs block currently stands at £43.5m.

2014-15 DSG	High Needs Block	43,420,598
	Total DSG	268,560,818
	Pupils	42,389
	High Needs Block per pupil	1,024
	Rank	2
Summary of Schools Block Funding 2014-15 for SEN		
	Total Funding (excl. MFG)	191,286,247
	Total Notional SEN (excl. MFG)	28,379,007
	Notional Sen Total - proportion of funding	14.84%
	Rank	14
	Notional SEN per pupil	669
	Rank	6

5.3 For the 2015/16 financial year the government added to the schools block extra funding of £390m to those local authorities they believed to be the lowest funded. If this was followed through the High Needs block the table above would imply that Lewisham is unlikely to receive any funding.

5.4 Whether ministers would have a desire to reduce authorities funding is an unknown, there has been a reluctance to pursue this for schools' formula allocations to date. It is thought this may change shortly (see paper on DSG Funding Formula agenda item 7 of this meeting).

5.5 If ministers were to make adjustments to Local authorities funding which included redistribution of funding across Local Authorities it is difficult to judge the impact of the introduction of a funding formula. In the ISOS report the proxy indicators suggested for distribution of the high needs block are as follows.

#### 5.6 **Deprivation**

The report identified a number of possible deprivation indicators that could be used. The suggested indicators include those that are used in the schools block (new funding formula) and other indicators such as poverty.

The two statistics that are used currently are

Pupils who have been eligible for free school meals in the past six years

Pupils who live in an area that is in one of the income deprivation affecting children index (IDACI) bands.

**5.7 Prior attainment**

For the primary measure, this would apply to pupils who did not reach the expected level of development on the new Early Years Foundation Stage Profile or who achieved fewer than 78 points on the old EYFSP. For secondary pupils the minimum funding level applies to pupils not reaching L4 at KS2 in either English or maths.

**5.8 Disability Living Allowance**

DLA is payable to children who need help with personal care or have walking difficulties because they are physically or mentally disabled. It is not means-tested and is unaffected by income or savings of the claimant. DLA provides support for paying with additional care or mobility requirements associated with a disability.

Data is published by the Department for Work and Pensions (DWP) and is updated quarterly. Breakdowns are published with the reasons for claim, such as learning difficulties and behavioural disorders. The data provided at the time of the call of evidence stems from 2013 and taking the mid year population and young people under the age of 24 we rank 22 highest of all the local authorities

**5.9 Children’s general health**

The data available stems from 2011 and is broken down into “Long term health problem or disability where Day-to-day activities were limited a lot, Day-to-day activities limited a little Day-to-day activities not limited”. A further category is provided of “Very good or good health”, “Fair health” and “Bad or very bad health”. The data is provided in two groups: population aged between 0 and 15 and 16 to 24. There are numerous ways you could analyse this data the mostly likely would see a ranking of between 14 and 25 for Lewisham. General Health is a self-reported indicator from the last general population census.

5.10 From the data sources currently available Lewisham’s rankings are a follows

Current Ranking	Ranking amongst LA’s
<b>High Needs block Per Pupil</b>	
Notional SEN	2
Proportion of funding ISB	6
<b>New Proxy indicators</b>	
Deprivation – Free Schools Meals	22
Deprivation – Free Schools	30

Meals “Ever 6”	
Attainment – Early Years Foundation stage	151
Disability	22
General Health	14

- 5.11 Lewisham at the moment looks statistically one of the better funded authorities in financial terms from the rankings. This does not take into account need.
- 5.12 One of the adjustments to the funding that has taken place is the area cost adjustment which reflects the higher costs of London. When the Area Cost Adjustment existed as a discrete calculation for inner London this stood at 29%. In the recent allocation of the £390m the judgements on which authorities should receive extra funding set this at 20%. It is likely a new funding formula on the High Needs block would likewise dampen the area cost adjustment. We have also see with funding on the pupil premium, where no account has been taken of the higher costs in inner London.
- 5.13 From the above unless funding levels are guaranteed at their current levels it would appear that the introduction of a new national method of funding allocations would see a reduction in funding.

## 6. Conclusion

Our current level of funding compared to the rest of country is one of the highest. This should not be taken in isolation as needs of pupils and area costs need to be taken in account. In a time of austerity and reductions in public spending, resources will be scarce and it is likely that any available resources will be targeted to those deemed to be the lowest funded. The best case scenario for us is there is a move to link funding to the level of pupil numbers, allowing our pupil growth to be recognised and funding to follow

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# Agenda Item 9

Schools Forum

1 October 2015

Agenda Item 9

Schools Forum			
REPORT TITLE	Financial Update And Budget Monitoring Report		
KEY DECISION	Yes	Item No.	9
CLASS	Part 1	Date	1 October 2015

## 1. Purpose of the Report

This report looks at the budget monitoring position of the Dedicated Schools Grant and considers the financial position of the mutual funds held by the Forum.

## 2 Recommendation

### The Forum agree

- i. The bid on the contingency fund for the EAL high needs students at Lewisham college of £120k
- ii. To note the report

## 3 Dedicated Schools Grant

- 3.1 The grant for the two year old entitlement has now been confirmed at £3.3m and an extra £0.6m has been received to revise the forecast of January numbers of early years pupils to actual numbers on the census.

The funding for 2 years olds is lower than the current level of payments to providers. There is the opportunity in the Autumn to request an adjustment to funding to the actual 2 years olds funded.

The current level of the DSG is now as follows:

	Before Academy Recoupment	After Academy Recoupment
	£M	£M
Schools block	214.607	188.14
Early years block	21.196	21.196
High needs block	43.588	42.624
Total additions for non block funding	0.052	0.052
Total DSG allocation	279.443	252.012

The above table excludes the Pupil Premium (£18m), Post 16 funding (£7m), Universal Free School Meals Grant (£2m).

### **3.2 School Budget Plans**

The date for schools to submit their budget plans to the Local Authority was the 31 May 2014. We have now received returns from all schools.

There are two secondary schools with deficit budgets, Sedgehill and Deptford Green and there is one primary school, All Saints. The latter had a deficit carry forward and is expected to remain in deficit next year.

The school budget plans are indicating a total carry forward for all Lewisham schools at the end of 2015/16 of £5m. Traditionally we know the actual year end carry forward is somewhat different from the budget plans of schools. Usually the year end position is 2 to 2.5 times higher than budget plans. In past years the budget plans have show a carry forward of around £6m at this point in the year. At 31 March 2015 this was £14m.

An Appendix will be tabled to show the financial indicators held for each school in Lewisham. The table includes the projected end of year balances over the three year period from 2015/16. These indicators feed into the School Review Board.

### **3.4 Budget Monitoring Template**

The template discussed at the Schools Forum is available to schools in a test form. Schools have been asked to comment on its format and the ease of completion. It is intended to incorporate changes where possible and go live for the September monitoring returns.

### **3.5 Financial Position**

At the end of last year the overspend position was higher than expected. This was caused by more SEN placements being made to providers outside of Lewisham than provided for in the budget. Some of the increase reflects wider age responsibilities for EHCP's. These placements were not in the independent sector but in FE colleges, other Local Authorities maintained schools and academies. The full year impact of this is a shortfall in the funding this year of £1.6m. The details are shown below

Expenditure Type	£
Resource Base	1,298
SEN Matrix	2,391
Special School Top Up	8,922
Special School Place led funding	6,000
New Woodlands	1,100
Abbey Manor College	3,700
Non Lewisham Placements	12,017
Collaboratives	2,000
Health and Social care reimb.	-1,100
Contingency	400
	36,728
Budget Available	35,050
Overspend	1,678

The non Lewisham placements can be further broken down as follows:

	Forecast £	FTE
Academy	723,078	84.85
CTC	26,200	1.00
Further Education	1,519,835	126.82
Hospital	2,100	0.33
Independent	0	1.00
Independent Other	773,726	24.77
Independent Special	4,060,542	62.61
Maintained Mainstream	512,380	50.40
Maintained Special	1,714,727	65.98
Non-Maintained Special	1,074,741	16.51
Not A School	8,070	0.51
Other- Arranged By LEA	48,120	1.62
Registered Early Years Setting	9,977	1.60
Special Post 16 Institution	1,460,406	21.16
Units Attached To Mainstream	64,292	3.00
University Technical College	19,107	3.00

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12,017,301      465.16

The fund set aside from previous years carry forwards is £2.5m. In the short term, the overspend can be covered but next year further reductions will need to be made in the cost base. The fund of £2.5m was largely created by a surplus on the 2 year olds grant within the DSG. This funding has moved to a

participation basis this year and it will not be possible to set aside further funding this year.

Further analysis is being undertaken on the needs of the pupils and age ranges to help formulate the development of in-house provision in the future. This will be reported back to the high needs group who are meeting in both October and November. The sub-group will report back to the budget setting meeting of the Forum in December.

The Schools Forum High Needs sub group are also looking at proposing new top-up funding bands for high needs pupils. Their objective is that any new system is cost neutral and that any implementation takes place in April 2016.

**4. 3 and 4 year olds**

The government have announced that they will bring forward plans to double free childcare for all working parents of 3 and 4 year olds to 30 hours a week from September 2016. The government is also looking at increasing the average childcare funding rates paid to providers. A paper will be brought to the December Forum meeting to consider the impact.

**5. Alternative Provision**

A full review of Alternative Provision will be taken to the high needs sub group and brought back to the Forum in December

**6 Bid on Contingency**

There are 30 students undertaking an EAL Programme at Lewisham Southwark College. The courses provide for more than 540 guided learning hours. This is usually funded at £4,000 per annum + 20% for inner London weighting, in total £4,800. For the 30 learners this would cost £120,000 or a part year impact of £70k. If these students were not being educated at Lewisham College they would need to be supported by schools in Lewisham. As they were not on the schools rolls no extra funding has been received for them and the Forum are asked to take the funding for them from the contingency.

**7. Mutual Funds**

The Schools Forum has a number of mutual funds it manages on behalf of schools. At the end of the year any balances are returned to schools or rolled forward to the next year. The current position of the funds is described below:



<b>Fund</b>	<b>Budget</b>	<b>Spent or committed to date</b>	<b>Balance</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
Growth Fund	<b>1,918</b>	<b>0</b>	<b>1,918</b>
Contingency	<b>1,510</b>	<b>392</b>	<b>1,118</b>
Maternity Fund	<b>800</b>	<b>226</b>	<b>574</b>

### **7.1 Growth Fund**

Growth Fund allocations are actioned during the autumn term, once all budge classes and expansions have been confirmed. Figures on the costs for the current financial year will be available for the next Forum Meeting.

### **7.2 Contingency**

No Contingency de-delegation charge has been actioned in 2015/16 as Forum agreed that the brought forward balance would be sufficient for this year.

To date there have been three calls on the Contingency Fund

- £178k to cover the Growth Fund shortfall in 2014/15
- £99k falling rolls allocation for Sydenham (to maintain staffing levels during a temporary dip in pupil numbers)
- £115k backdated NNDR charge for the Rushey Green Primary rebuild.

The Contingency fund bid in Section 6 of this report is not included in the figures above.

### **7.3 Non-Sickness Supply Fund**

The de-delegation charge for non-sickness supply cover for 2015/16 is £800k. To date only summer term claims have been paid. These totalled £226k.

Forecasting future claims is difficult, and the 2014/15 financial year bucked the previous trend, such as it was. However, an underspend of £115k is tentatively forecast.

The summer term claims breakdown is as shown in the table below:

Phase	Claim Type	Number	Amount £	Average £
Nursery	Maternity	1	5,644	5,644
Primary	Jury Service	3	5,777	1,926
	Maternity	19	101,527	5,344
	Paternity	3	3,911	1,304
	TOFTUA	1	9,975	9,975
		26	121,190	4,661
Secondary*	Adoption Leave	1	2,792	2,792
	Maternity	11	70,600	6,418
	Paternity	2	3,280	1,640
	Suspension	2	5,683	2,841
		16	82,355	5,147
Special	Maternity	2	13,569	6,784
	Suspension	1	3,662	3,662
		3	17,231	5,744
		46	226,419	4,922

\* includes all-through schools

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