

People Commissioning
SEN Planning & Provision

High Needs Funding 2017/18

Author	Candice Thompson
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Background to the SEN Funding Reform 2013

With effect from 1st April 2013, the way in which ALL schools are funded for High Needs Provision was changed by the SEN Funding Reform.

The stated intention of the funding reform was to;

- achieve maximum delegation of funding to schools
- simplify the way Local Authorities and the Education and Skills Funding Agency (ESFA) fund schools so that it is more consistent and better focused on the needs of pupils
- create greater consistency between local funding formulae meaning we are better placed to introduce a national funding formula

Historically, local authorities have been able to determine their own funding formulae for delegating SEN resources to schools. The SEN Funding Reform endeavored to ensure greater consistency between authorities.

The National Funding Formula for Schools and High Needs

In December 2016, the Department for Education consulted on proposals to introduce a National Funding Formula for Schools and a National Funding Formula for High Needs Funding.

The fundamental principles for introducing a national funding formula are:

- to create a system that is fair and support opportunity – it will reflect current pupil characteristics and not historic allocations that are based on out of date data
- that it is efficient – so resources are matched to need
- it gets more funding to the frontline
- it is transparent
- It is simple
- It is predictable

Final decisions have now been made regarding the national formula and are to be implemented in April 2018. Local Authorities will receive their Dedicated Schools Grant based on the National Funding Formula, however, in the 18/19 and 19/20 financial years LAs will continue to determine final funding allocations to schools through a local formula. In 2020/21 the National Funding Formula arrangements will apply to all authorities with no local discretion.

Further information on the new formula can be found on the Department for Education's website: <https://www.gov.uk/government/publications/national-funding-formula-for-schools-and-high-needs>

The Dedicated Schools Grant (DSG)

The Dedicated Schools Grant (DSG) is the main source of government funding to local authorities for education provision. It is currently divided into three blocks:

- Schools Block
- High Needs Block
- Early Years Block

A fourth block (Education Services Block) will be introduced as part of the 2018 National Formula reforms.

Currently, in consultation with their Schools' Forum, local authorities make decisions about how to split the DSG funding they receive between their budgets, and on the local formulae which determine the allocations for individual schools and early years' providers. They are also responsible for deciding how many places should be funded for children and young people with high needs, in special schools and enhanced provisions and in colleges. Finally, they are responsible for allocating top-up funding for children and young people with High Needs. These responsibilities are aligned with their statutory duties under the Children and Families Act 2014.

For Mainstream schools and academies the majority of funding is delegated via the Schools Block.

SEN Pupil Top-Up funding (the funding for individual pupils with an Education Health and Care Plan (EHCP)/SEN Statement) is provided via the High Needs Block.

The High Needs Funding System

The high needs funding system has two main components; Core Funding and Top-Up Funding. The following table sets out how high needs provision is funded in different setting types for both pre and post-16 students for the 17/18 academic year:

Type of provision	Pre-16		Post-16	
	Core funding	Top up funding	Core funding	Top up funding
Mainstream schools, mainstream academies and mainstream free schools	Funding to meet the first £6,000 of additional support costs, delegated within school budget and academy grant derived from local formula	Agreed per-pupil top up paid by commissioning local authority	Element 1 (based on 16 to 19 national funding formula) plus element 2 (£6,000) based on the number of places to be funded	Agreed per-pupil top up paid by commissioning local authority
SEN units and enhanced provision in mainstream schools, academies and free schools	£10,000 per place based on number of places to be funded	Agreed per-pupil top up paid by commissioning local authority	Element 1 (based on 16 to 19 national funding formula) plus element 2 (£6,000) based on number of places to be funded	Agreed per-pupil top up paid by commissioning local authority
Maintained special schools, special academies, special free schools, and non-maintained special schools	£10,000 per place based on number of places to be funded.	Agreed per-pupil top up paid by commissioning local authority	£10,000 per place based on number of places to be funded	Agreed per-pupil top up paid by commissioning local authority
Nursery schools	Place funding system does not operate in 0 to 5 year only settings	Agreed per-pupil top up paid by commissioning local authority	N/A	N/A
Independent schools	Place funding system does not operate in independent schools	Agreed per-pupil top up paid by commissioning local authority	Place funding system does not operate in independent schools	Agreed per-pupil top up paid by commissioning local authority
Maintained pupil referral units, AP academies and AP free schools	10,000 per place based on number of places to be funded	Agreed per-pupil top up paid by commissioning local authority	Element 1 (based on 16 to 19 national funding formula) plus element 2 (£6,000) based on number of places to be funded	Agreed per-pupil top up paid by commissioning local authority
FE and sixth-form colleges, special post 16 institutions and CCPs	N/A	N/A	Element 1 (based on 16 to 19 national funding formula) plus element 2 (£6,000) based on number of places to be funded.	Agreed per-pupil top up paid by commissioning local authority

Education Health and Care Plans (EHCP)

With effect from September 2014, when the Children and Families Bill became law, Education Health and Care Plans were introduced as the statutory document prescribing the provision to be made and outcomes to be achieved by High Needs pupils.

ECC has taken this opportunity to break the link between SEN statements and the allocation of resources set as a number of hours of support. Therefore, ECC will allocate a monetary amount within the EHCP (rather than a number of hours) and this funding is made in order for the pupil to reach a set of prescribed outcomes. SEN statements will continue to be resourced as they currently are, until they are either ceased or transitioned into an EHCP.

With effect from September 17, ECC is introducing a new Banding scheme to further move away from funding High Needs pupils for a number of hours of individual learning support assistance. More information on the Banding process is on page 12 of this manual.

ECC's SEND Local Offer can be found here:

<http://www.essexlocaloffer.org.uk/>

Funding Mainstream Maintained Schools, Academies and Free Schools

All Essex Maintained schools receive a delegated Budget Share Statement that shows the budget allocated for the whole school for the **financial year** (Apr-Mar). This allocation is also sometimes referred to as the Section 251 Budget. Section 251 is part of the Apprenticeships, Skills, Children and Learning Act 2009 that requires local authorities to submit statements about their planned and actual expenditure on education and children's social care. The Department for Education uses the Section 251 data for publishing statistics, constructing benchmarking tables, answering parliamentary questions and responding to other requests for data.

See Appendix A for an example of a Primary Budget Share Statement and Appendix B for a Secondary Budget Share Statement.

Academies receive a similar Statement showing the budget allocated for the whole school but this comes from the ESFA and is called the General Annual Grant Statement (GAG). This statement details the funding for the **academic year** (Sept-Aug).

High Needs Funding

All mainstream schools are required to fund the first £6,000 of additional to and different from support to High Needs pupils as the funding for this is delegated within schools budget shares and held within the Notional SEN Fund, this element of funding is made via the Schools Block.

Local authorities must ensure mainstream schools and academies have sufficient funding in their delegated budget to enable them to support High Needs Pupils where required up to the mandatory cost threshold of £6,000 per pupil.

The Notional SEN Fund and how to calculate it is explained further on page 9.

A popular misconception amongst schools is that the following types of provision be funded from the Notional SEN Fund. This is not the case and these types of expenditure should be paid for from the schools main budget:

- the cost of a suitably qualified Special Educational Needs Co-ordinator (SENCO) or Assistant SENCO (unless providing direct support to a pupil),
- the administrative costs associated with SEN
- the cost of effectively differentiating the curriculum, including smaller class sizes for some subjects and/or pupils,

Funding Mainstream Maintained Schools, Academies and Free Schools The Notional SEN Fund

The Notional SEN Fund is used to fund the first £6,000 of support for High Needs Pupils. It is a notional sum of money that is calculated in order to ensure that schools have enough funding to meet this first £6,000 of support. For Essex schools the SEN Shortfall scheme currently ensures there are sufficient resources in the school's Notional SEN Fund to provide £6,000 of support to any pupil receiving high needs top-up and a residual sum in the SEN Notional Fund to allow for £105 per pupil on roll (as at Oct PLASC). This £105 is to support pupils on SEN School Support. This equates to approximately 15 minutes of additional support per week for every pupil on roll. Obviously not all pupils will have SEN and therefore require this additional support but this is a way of calculating a value to support pupils who aren't in receipt of SEN Top-Up Funding.

Calculating a mainstream school's Notional SEN Fund is fairly straightforward although it is slightly different for primary and secondary phases. It is advised that this section of the manual is read in conjunction with the examples shown in appendix A and B.

The budgets that come under the heading of 'Pupil Led Factors' on the Schools budget statement are all used to calculate the Notional SEN Fund.

The Notional SEN Fund does not provide £6,000 of support for all pupils in the school. It uses proxy indicators to predict the likely incidence of SEN in a school and takes a 3% or 2% slice of the basic entitlement funding recognising that the likely incidence of some types of SEN cannot be predicted by proxy indicators.

Basic Entitlement Funding

Schools receive the largest element of their funding for SEN through their Basic Entitlement funding (this was formerly known as Key Stage Funding and Age Weighted Pupil Unit funding). In the 17/18 financial year, the following values are paid for each pupil at each Key Stage:

Key Stage 1&2	Primary Phase	Years 1-2	£2,717.56
Key Stage 3	Secondary Phase	Years 7-9	£3,891.00
Key Stage 4	Secondary Phase	Years 10-11	£4,739.09

Schools receive the above value for each pupil on roll at each Key Stage as at the October Pupil Level Annual School Census (PLASC). So, in the example in Appendix A, the primary school is funded the Key Stage 1&2 value of £2,717.56 for the 273 that were on their Census return in Oct 16. The basic entitlement funding is not adjusted during the year as pupils leave or join the school.

The Basic Entitlement funding includes an element for Special and Additional Educational Needs. This is quantified as a minimum of **3%** of the Basic Entitlement funding for Primary schools and **2%** for Secondary schools (Secondary schools are expected to spend a smaller percentage to compensate for their larger base budget).

As an integral part of the Notional SEN fund this 3% and 2% is to support pupils on SEN School Support and provide a base level of support for high needs pupils with EHCP/SEN Statements.

Funding Mainstream Maintained Schools, Academies and Free Schools The Notional SEN Fund

Other Budgets Included in the Pupil Led Factors

- **Deprivation – Free School Meal (FSM) Entitlement**
 - Each pupil entitled to a FSM, which is determined from families claiming income support or other qualifying benefits, attracts funding – this is £437 per pupil in 17/18. This should not be confused with the universal FSM that all infant aged pupils receive.
- **Deprivation – Income Deprivation Affecting Children Index (IDACI)**
 - The national IDACI tables have been used to map pupils to their Lower Super Output Area (LSOA) using their individual home postcodes. An average IDACI score is calculated for each school by the Department of Education, reflecting overall social deprivation of pupils attending the school. This percentage is then applied to the Total Funded Pupil number to calculate the number of pupils at each Band within the IDACI.
 - The LSOAs are ranked in bands and funding is targeted to the pupils from most socially disadvantaged areas. The per pupil funding for each band in 17/18 is:

	Band F	Band E	Band D	Band C	Band B	Band A
Primary	£269.22	£329.04	£388.87	£448.70	£538.44	£897.39
Secondary	£359.90	£439.88	£519.85	£599.83	£719.80	£1,199.66

- **Low Cost, High Incidence SEN (Funding attributed to pupils with low prior attainment)**
 - For Primary schools, funding for pupils in year 1 is based on the new Early Years Foundation Stage Profile, whilst years 2 to 5 is based on the old profile. This is funded at £657.68 per pupil for 17/18.
 - For Secondary schools this is based on end of key stage 2 results and funded at £1,010.09 per pupil for 17/18.
- **English as an Additional Language**
 - This is funded at £593.27 per identified pupil for 17/18.
- **Looked After Children**
 - This is funded at £500.00 per identified pupil for 17/18.

These budgets are intended to meet the needs of pupils with the greatest Special and Additional Educational Need and, in Essex, can be related to those on SEN School Support or have AEN requiring **up to** £6,000 worth of support. These students may have EHCP/SEN Statements, or are gifted and talented pupils or pupils whose first language is not English so require additional support.

These funds should provide something ‘additional to and different from’ the support provided to pupils with universal needs. These funds should be used to make a similar base level of support for pupils with EHCP/SEN Statements. These figures do not change as pupils leave or join the school during the year but in some cases do reflect pupil cohorts from previous academic years.

Funding Mainstream Maintained Schools, Academies and Free Schools

The Notional SEN Fund

SEN Shortfall Funding

The Notional SEN Fund **should** be sufficient to cover the cost of the first £6,000 of support for all pupils with EHCP/SEN Statements or any pupil receiving Top-Up Funding including those pupils with an Individual Pupil Resource Allocation (IPRA), and have a balance remaining of £105 for each pupil on roll as at Oct PLASC. There will be some instances where the value of a school's Notional SEN Fund is insufficient to cover this. When this happens, 'SEN Shortfall Funding' will be applied.

In 17/18, for the sixth consecutive financial year, ECC agreed to use its discretionary powers relating to the High Needs block to "make up" the shortfall should the Notional SEN Fund prove insufficient. The 'SEN shortfall calculation' is reviewed on a termly basis to ensure schools have sufficient resources in the Notional SEN Fund to make the required contribution to High Needs pupils.

In the example shown in Appendix A, the Notional SEN Fund for the Primary school is **£69,290** and there are 273 pupils on roll.

If the school has x 9 pupils with an EHCP, the Notional SEN Fund will have to fund:

- **£54,000** (9 pupils x £6,000)
- and
- **£28,665** for AEN (273 pupils x £105)
- = **£82,665**

The school would therefore have insufficient funding in their Notional SEN Fund and would need Shortfall Funding of **£13,375**.

SEN Shortfall Funding is paid on a termly basis and takes a head count of the pupils in receipt of SEN Top-Up funding who are on roll at the school on the PLASC date for that term. In 17/18 the PLASC dates are:

- Thursday 18th May 2017
- Thursday 5th October 2017
- Thursday 18th January 2018

If, for example, a pupil's EHCP was finalised on 19th May, they would not be included in the Shortfall Funding pupil number for the summer term but would be included in the autumn term.

A threshold system operates when making payments to schools to minimise the administration of the SEN Shortfall Funding. In previous years, there were instances where payments were being made in one term only to be reclaimed the following term. Any unpaid SEN Shortfall Funding will be settled in the spring term each year.

Funding Mainstream Maintained Schools, Academies and Free Schools SEN Pupil Top-Up Funding

Funding to Maintained Schools

The funding made to schools for pupils with EHCP/SEN Statements, over the £6,000 school contribution, is called 'SEN Pupil Top-Up funding'. This funding comes via the High Needs Block.

Within the Section 251 Budget Share Statement that maintained schools receive, there is a heading 'Estimated Statemented SEN funding'. This is the Pupil Top-Up funding for known Essex pupils as at mid-February.

A download of the SEN pupil cohort is taken as at mid-February which lists all known Essex pupils with EHCP/SEN Statements in receipt of SEN Top-Up funding in Essex mainstream schools. The amount of Pupil Top-Up funding is then calculated for the following financial year and the total for each maintained school is reflected on the Section 251 Statement. So, in Appendix A, the funding for the school for known pupils is £26,083.

All known pupils with EHCP/SEN Statements in receipt of SEN Top-Up funding will be funded for the **full year** within the Section 251 Budget with the following exceptions:

- Year 2 Pupils in an Infant School
- Year 6 Pupils
- Year 11 Pupils
- Year 13 Pupils

Pupils in these year groups will be funded for the summer term only. Year 2 and Year 6 pupils will move on to new schools in the autumn term and it is assumed that Year 11 pupils will leave. If Year 11 pupils do stay on to Post16 provision in mainstream schools, Pupil Top-Up will be funded in year provided the EHCP remains current. Year 13 pupils will reach the end of education at the end of the summer term.

No IPRA funding is paid through the Section 251 budget as it is deemed that this funding is time limited.

Any pupils funded via the Section 251, who subsequently leave before the end of the financial year, will have a proportion of the SEN Top-Up funding reclaimed.

Any High Needs pupils who start at a school or who have an EHCP finalised in year, will be funded pro rata in year.

Funding to Academies

As Academies do not have a Section 251 Budget Share, SEN Pupil Top-Up funding is made throughout the financial year. The frequency of this funding is dependent on the workload of the SEN Planning & Provision Team but funding is ordinarily made half termly.

Funding Mainstream Maintained Schools, Academies and Free Schools SEN Pupil Top-Up Funding

Previously, the SEN Top-Up Funding was calculated as a number of hours paid at an hourly rate (see page 15 for further details). From September 2017, a new way of funding will be phased in. Pupils will be 'Banded' according to their need using a Banding Matrix and each Band will attract a monetary value. There are 12 Banded funding levels and the value associated with each level will range from £0 to £40,000.

Banding

From September 2017 SEN Pupil Top-Up funding will start to be calculated using a Banded value. The values are:

Band 0	£0
Band 1	£1,800
Band 2	£2,700
Band 3	£4,800
Band 4	£7,500
Band 4+	£8,500
Band 5	£10,000
Band 6	£15,000
Band 7	£20,000
Band 8	£25,000
Band 9	£30,000
Band 10	£40,000

Band 4+ is to be used for those High Needs pupils in mainstream schools for whom their safety, and that of others, can be the issue which requires adult support throughout the school day, especially in the short term. All Band 4 + allocations will need to be reviewed annually as there is no educational benefit for a child to receive 1:1 full time. It is envisaged that pupils in mainstream schools will be banded a maximum of band 5.

The Band will be determined using the 'Essex Banding Descriptors Matrix' in conjunction with discussions with schools and SEN professionals. The Matrix is a tool which combines descriptions of a pupil's needs to generate a proposed financial allocation to support those needs. The preferred procedure is that EP/Specialist Teacher/Statutory Assessment officers and the school independently complete the banding matrix. If a consensus is reached then no detailed discussion is necessary and the band can be agreed provided all parties are happy that the resource allocation is fair for that pupil's provision requirements. Where discrepancies in the proposed band exist then these cases must be discussed at Local Management Team and a band agreed.

For children and young people in Essex Schools the money associated with the allocated band will be the SEN Pupil Top-Up funding, over and above the school's £6,000 contribution.

More information on Banding and the Essex Banding Descriptors Matrix can be found here <https://schools-secure.essex.gov.uk/pupils/sen/Pages/Banding-Descriptors.aspx>

Banding is being introduced on a phased basis. Banding of a High Needs pupil should be completed at every key stage change for all EHCPs from September 2017. In addition, a move in to or out of special education will also require the process of banding to be completed using information obtained from the school as part of the review of the placement.

Funding Mainstream Maintained Schools, Academies and Free Schools SEN Pupil Top-Up Funding

Banding (continued)

The following table shows the timeline to be followed for moving pupils to a Banded funding level:

Cohort	Academic Year			
	2017-18	2018-19	2019-20	2020-21
a	R	1	2	3
b	1	2	3	4
c	2	3	4	5
d	3	4	5	6
e	4	5	6	7
f	5	6	7	8
g	6	7	8	9
h	7	8	9	10
i	8	9	10	11
j	9	10	11	12
k	10	11	12	13
l	11	12	13	14
m	12	13	14	
n	13	14		
o	14			

Pupils going into Reception and Yr7 in September 2017 should already be banded. Any Yr7 pupils who have not been banded will continue to be funded on a cash sum equivalent to a number of hours and will need to be Banded before they reach end of Key Stage 3.

Yr2, Yr6 and Yr14 pupils should be banded in the 2017-18 academic year in preparation of their move to the next key stage in September 2018.

Until a High Needs pupil has been banded, they will continue to be funded a cash sum equivalent to a number of hours of individual LSA support.

Any pupils without an EHCP who are in receipt of SEN Pupil Top-Up funding (so pupils funded through an IPRA, see page 20, or for their medical needs) will also need to be banded.

Funding Mainstream Maintained Schools, Academies and Free Schools SEN Pupil Top-Up Funding

Hours

Funding High Needs pupils a cash equivalent sum on the basis of a number of hours will need to continue for those pupils who have not been banded.

When this method of funding is used, schools are funded SEN Pupil Top-Up of £459 for one hour of support for the full financial year. The school contribution is included in this rate. In previous years, a further two hourly rates were used to take into account the 'Fringe' and 'London Weighting' elements that schools received if they were located in certain areas of Essex. These two higher rates ceased on 1st April 2017 as it was advised that this element of funding was already included in a school's overall budget share.

The Hourly Pupil Top-Up Rate is based on a standard calculation, not an actual cost. No adjustments are made if schools employ higher costing LSAs to support pupils. The hourly rate is based on the following:

NJC SCP13 (as at 01/04/17)	£16,491
On costs at 19%	£3,133
Total	£19,624
25hrs x 45wks Year*	£11,475
Divided by 25hrs to reach hourly rate	£459

*Assumption is that LSA staff work 25 hours a week, 45 weeks a year. The 'Total' value of £19,624 is based on 37 hours a week, 52 wks a year so the total is pro-rated.

£459 is the amount ECC funds for one hour of support for a full year (Apr-Mar). The £6,000 is then removed to leave the SEN Pupil Top-Up ECC will fund.

So, for example, if a pupil receives 15 hrs of support for a full year the Top-Up payable is £459 x 15 hrs - £6,000) = £885

Funding Mainstream Maintained Schools, Academies and Free Schools SEN Pupil Top-Up Funding

Funding for Part Year

Where a pupil either joins a school or their EHCP is finalised during the year, the amount of Top-Up Funding the school receives will be pro-rated on the basis of the number of school days in the financial year.

Unlike the academic year, which has a constant 195 days, the number of school days in the financial year changes each year. In the 2017/18 financial year there are 194 school days.

If a pupil's EHCP is finalised on 1st May 2017, for example, and is banded at Band 2, the school will receive £2574.74 for the period up to 31st March 2018 (the end of the financial year).

This is calculated as follows:

Band 2 Full Year Funding	£2,700
Number of School Days in 2017/18 Financial Year	194
Number of School Days from 01/05/17-31/03/18	185
$£2,700 \div 194 \text{ days} \times 185 \text{ days}$	£2,574.74

See Appendix D for the Funding Calculator

Split Placements

There will be some pupils whose EHCP will recommend placement at another setting for some of the time they are on roll. It will be the responsibility of the host school (the school on whose census return the pupil is recorded and therefore the school at which the pupil is deemed to have roll status) to fund this in all cases. It may be necessary to adjust the banding to reflect the requirement to fund the additional provision so the host school has sufficient resource to fund the pupil, both when they are in their provision and to commission any further provision from another provider. The centrally retained alternative provision budget will only be available to support pupils who do not have roll status at any educational setting.

Funding Mainstream Maintained Schools, Academies and Free Schools SEN Pupil Top-Up Funding

Pupils without EHCP/SEN Statements

Some pupils without an EHCP/SEN Statement still attract Pupil Top-Up funding. These are pupils who have an IPRA (Individual Pupil Resourcing Agreement) and fall into two main categories:

- Pupils whose medical needs are funded without the need for an EHCP/SEN Statement
- Pre-School pupils or any pupil allocated interim funding whilst a statutory assessment is being undertaken

Schools receive allocations for IPRA pupils in three instalments (one per term). Payments will be made in April, September and January.

Allocations via IPRA's will assume the school is funding the first £6,000 of support. These pupils are also included in the SEN shortfall calculation.

Other Local Authority (OLA) Pupils in Essex Mainstream Schools & Academies

There will be instances where non-Essex pupils attend Essex mainstream schools and academies.

These pupils will either:

- live at an address outside of Essex but the Essex school is either their nearest suitable school or the preferred choice of their parents
- be Looked After to another authority and reside with carers in Essex
- be Looked After to another authority and reside at an address outside of Essex but the Essex school is their nearest suitable school

ECC will not pay the SEN Top-Up Funding for these pupils. It is the school's responsibility to claim funding directly from the pupil's home authority (so either the authority in which they reside or the authority that is the corporate parent, in the case of a LAC).

The funding level associated with these pupils should be in line with what is funded for Essex pupils. So these OLA Pupils should be banded or be funded for a cash equivalent sum to a number of hours until a band is agreed.

Funding Mainstream Maintained Schools, Academies and Free Schools SEN Pupil Top-Up Funding

Individual Pupil Resourcing Agreement (IPRA)

IPRAs were introduced in September 2014 and are an agreement between a mainstream school and the ECC that ensures schools have sufficient resources to meet the needs of a pupil with High Needs (defined as requiring in excess of £6,000 additional to and different from support) but do not, at the time when those resources are required, have an EHCP

An IPRA is a way of providing timely additional resources to schools to support an individual pupil's needs either whilst an EHCP needs assessment is being carried out or if an EHCP is not required because the pupil has medical needs and no special educational needs.

Applications for an IPRA can be made by either the school or parent. Applications are currently considered by Area LMT and are accompanied by key evidence from the school detailing support arrangements currently in place and may include the individual pupil's One Plan and Provision Map.

Funding will be determined in line with current banding descriptors. Funding will be allocated in accordance with the timescale laid down in the IPRA. Funding will normally be allocated to the end of the current academic year and paid to the school on a termly basis. Should a pupil no longer be the funding responsibility of ECC or move to a different phase (primary to special or enhanced provision) or be excluded from school then the IPRA will cease and funding will be reclaimed. If a child transfers to another school within the same phase (e.g. primary school to primary school) the IPRA will continue until the end date stipulated at the previous school.

The IPRA will be sent to the school within two weeks of the Area LMT decision. A half termly payment run will allocate any resources due for new IPRA's for the remainder of that term. If funding is not approved by the Area LMT the submitting school will be advised as to why the application was not approved. The school can re-apply for funding if further evidence becomes available to support their application.

SEN shortfall funding continues to operate in 2017/18 and will be based on the number of pupils either with an existing EHCP/SEN statement or an IPRA.

Funding Mainstream Maintained Schools, Academies and Free Schools SEN Pupil Top-Up Funding

Pupil Premium

At ECC Pupil Premium funding is issued by the Achievement Service for Children in Care team. More information regarding Pupil Premium can be accessed on the Schools Infolink:
<http://schools.essex.gov.uk/pupils/pupil-premium/Pages/default.aspx>

Funding Special Schools, Special Academies and Special Free Schools

The funding of Essex Special Schools can be split into three components:

- Place Funding
- Pupil Top-Up Funding
- Boarding Top-Up Funding

Special Schools are funded for their **Places** from different sources, depending on the school type and age profile. Maintained Special Schools are funded for Pre-16 Places by ECC and for Post 16 Places by the ESFA. All **places** in Special Academies and Free Schools are funded by the ESFA, who recoup the funds from ECC.

Special Schools are only funded **Pupil** Top-Up for Essex pupils for the number of school days they are on roll at the school. Schools need to claim the Pupil Top-Up Funding directly from the pupil's own authority if they are not an Essex pupil. Non-Essex pupils will be those who live outside of Essex or who are cared for in Essex but are Looked After to another authority.

Appendix C shows an example of a Maintained Special School Budget Share Statement.

Special Schools are paid the Pupil Top-Up Funding in monthly Instalments. If a pupil leaves or starts during the year, the SEN Planning & Provision Team will make adjustments to this funding so that schools are correctly funded for the Essex pupils who are on roll.

Place Funding

All High Needs places at Special Schools, Academies and Free Schools are funded at £10,000 per year.

The number of places required is agreed as part of the annual commissioning cycle. This process sets the number of places required and takes into account demand for places from other local authorities.

If an establishment admits more pupils than they have funded places, they will not be allocated any further place funding in the current financial year. However, the place number will be reviewed as part of the next year's commissioning cycle.

Funding Special Schools, Special Academies and Special Free Schools

Pupil Top-Up Funding – Banding

Currently, the SEN Pupil Top-Up Funding for Special Schools, Special Academies and Special Free Schools is based on an Average Pupil Rate (see the page 24 for further details). With effect from September 2017, a new way of funding will be phased in. Pupils will be 'Banded' according to their need using a Banding Matrix and each Band will attract a monetary value. There are 12 Banded funding levels and the value associated with each level will range from £0 to £40,000. Remember these sums are the Top-Up value and are additional to the £10,000 place funding.

Band 0	£0
Band 1	£1,800
Band 2	£2,700
Band 3	£4,800
Band 4	£7,500
Band 4+	£8,500
Band 5	£10,000
Band 6	£15,000
Band 7	£20,000
Band 8	£25,000
Band 9	£30,000
Band 10	£40,000

These Band values do not include any funding for the boarding cost of pupils who are resident at the SEMH special schools and special academies. A separate boarding Top-Up is payable for these pupils. Page 23 details funding information for residential pupils.

The Band will be determined using the 'Essex Banding Descriptors Matrix' in conjunction with discussions with schools and SEN professionals. The Matrix is a tool which combines descriptions of a pupil's needs to generate a proposed financial allocation to support those needs. The preferred procedure is that EP/Specialist Teacher/Statutory Assessment officers and the school independently complete the banding matrix. If a consensus is reached then no detailed discussion is necessary and the band can be agreed provided all parties are happy that the resource allocation is fair for that pupil's provision requirements. Where discrepancies in the proposed band exist then these cases must be discussed at Local Management Team and a band agreed. It is essential the special school headteachers are involved in the allocation and moderation of bands allocated to special school pupils. In all cases the matrix acts as a guide and the final decision regarding the band allocated rests with the Local Authority.

Banding is being introduced on a phased basis, however as banding is now being completed as part of the transfer review process it is expected that all special school pupils will be banded before April 2018. As part of the ongoing review of the implementation of the new banding scheme it has been agreed to allocate top up funding for the Autumn/Spring Term 2017 in line with the current average place values whilst undertaking re-banding of the special school cohort. Where a pupil starts at a Special School part way through the financial year, their funding will be pro-rated on the number of school days. There are 194 school days in the 17/18 financial year so the Band value is divided by this number and then multiplied by the number of school days the pupil is on roll for in the remainder of the financial year. See Appendix D for the SEN Top-Up Funding Calculator.

Funding Special Schools, Special Academies and Special Free Schools

SEN Pupil Top-Up Funding – Average Pupil Rate

For those pupils who are not Banded, SEN Pupil Top-Up will continue to be funded on the 'Average Pupil Rate'. These rates differ for each Special School and Special Academy type:

Type	SEN Pupil Top-Up Value
Complex Needs	£1,617.52
Hybrid Complex/Severe	£3,528.63
Severed Needs	£7,496.52
SEMH Primary	£9,951.52
SEMH Secondary	£12,626.52

These values do not include any funding for the boarding cost of pupils who reside at the SEMH special schools and special academies. A separate Boarding Top-Up is payable for these pupils. The next page details funding information for residential pupils.

The Average Pupil Top-up Rate was used in April 17 to calculate the budget.

Where a pupil starts at a Special School part way through the financial year, their funding will be pro-rated on the number of school days they are on roll. There are 194 school days in the 17/18 financial year so the rate is divided by this number and then multiplied by the number of school days the pupil is on roll for over the remainder of the financial year. See Appendix D for the SEN Top-Up Funding Calculator.

SEN Pupil Top-Up Funding – Boarding Places/Pupils

There are currently three special schools/academies that offer boarding places. ECC funds these schools for all of their boarding places less any boarding places that are taken up by pupils from another local authority. Therefore, these schools are not financially disadvantaged for not having all of their beds filled.

So, for example, Langham Oaks has 28 Boarding Places. If 23 of these were filled by Essex pupils and one by another local authority pupil, ECC would fund the Boarding Top-Up of £12,255.52 for 27 pupils. If the school were only funded for the 23 Essex Boarders, they would be underfunded by over £85k but would still need to employ the staff associated with providing boarding provision for 28 pupils.

Boarding Top-Up is funded at the following two rates. This funding is in addition to the SEN Top-Up Funding for Banded pupils or those pupils funded on the Average Pupil Rate.

Type	Boarding Top-Up Value
SEMH Primary	£19,231.52
SEMH Secondary	£12,255.52

Funding Special Schools, Special Academies and Special Free Schools

Exceptional Funding

With effect from September 2017 Exceptional Funding in Essex Special Schools will no longer be applicable. Instead, pupils who had previously been in receipt of Exceptional Funding will be banded. As pupils will now receive a level of funding in line with their need, rather than an Average rate, the requirement for further Exceptional Funding will no longer be needed.

In the Summer 17 term Headteachers of all Essex Special Schools were asked to put forward 10% of their pupil roll for banding. This 10% included any pupils who were in receipt of Exceptional Funding.

If a pupil is banded and the value of that Band is less than the previous amount received through Exceptional Funding then the value of the Exceptional Funding will be protected and paid to schools in full for the 17/18 academic year. This protection will reduce to 50% of the difference in 2018/19 and there will be no further protection in 2019/20.

The protection only applies to pupils who received Exceptional Funding in the Summer 17 term so if that pupil leaves the school then the protection for that pupil would cease.

Other Local Authority Pupils in Essex Special Schools, Special Academies and Special Free Schools

There will be instances where non-Essex pupils attend Essex Special Schools, Special Academies and Special Free Schools.

These pupils will either:

- live at an address outside of Essex but the Essex school is either their nearest suitable school or the preferred choice of their parents
- be Looked After to another authority and reside with carers in Essex
- be Looked After to another authority and reside at an address outside of Essex but the Essex school is their nearest suitable school

ECC will not pay the SEN Top-Up Funding for these pupils. It is the school's responsibility to claim funding directly from the pupil's home authority (so either the authority in which they reside or the authority that is the corporate parent, in the case of a LAC).

The funding level associated with these pupils should be in line with what is funded for Essex pupils. So these OLA Pupils should be banded or be funded in line with the school's previous Average Top-Up rate. Special School bands for OLA pupils should be agreed between the special school and the Statutory Assessment Service to ensure special schools are not incentivised to admit non-Essex pupils.

Funding Special Schools, Special Academies and Special Free Schools

Staffing Ratios

When funding at the average rate staffing ratios for each type of school were agreed as follows – accepting that smaller schools may need to adjust their senior management structure and administrative support arrangements to remain within budget. The guiding principle is that the budget generated by multiplying the number of places for each school by the appropriate place value plus per pupil top-up will generate enough resource to fund the structure below or equivalent.

Under the banding scheme schools will be able to staff more flexibly in line with the complexity of pupils they admit. When making banding decisions notice should be taken to the current level of funding and what that level of funding is deemed to provide in terms of staff.

	Complex	Severe	SEMH (Primary)	SEMH (Secondary)
Teachers	1:12	1:10	1:8	1:7
Learning Support Assistants (27.5hrs)	1:8	1:5	1:8	1:6
Senior Learning Support Assistants (18.5hrs)	1:12	1:10	-	-
Senior Care Officers	-	-	1 per House	1 per House
Care Officers	-	-	1:5	1:5
Key Workers (37 hrs)	-	1:10	-	-
MDA (7.5hrs)	1:12	1:10	1:8	1:7
In addition, each school will have:				
Head Teacher	✓	✓	✓	✓
Deputy Head Teacher	✓	✓	✓	✓
2 Heads of Learning (0.8 F.T.E)	✓	✓	✓	✓
Outreach Manager	✓	-	-	-
Outreach Assistant	✓	-	-	-
Technicians	✓	✓	✓	✓
CAMHS Worker	-	-	-	✓
Care Standards Manager	-	-	✓	✓
Deputy Care Standards Manager	-	-	✓	✓
Home to School Liaison	-	-	✓	✓
Laundry Assistants	-	-	✓	✓
Night Awake Officer	-	-	✓	✓
Transitions Officer	-	-	✓	-
Catering Staff	-	-	✓	✓
Site Manager	✓	✓	✓	✓
Finance Manager	✓	✓	✓	✓
Personnel Manager	✓	✓	✓	✓
Admin Staff	✓	✓	✓	✓
Cleaning and Catering Staff	✓	✓	✓	✓
An additional % for non - staffing costs	10%	10%	12.5%	12.5%
£531 per pupil for additional NMSS services determined by local need.	-	✓	-	-

Enhanced Provisions in Mainstream Schools & Academies

There are 26 Mainstream Schools in Essex who have an Enhanced Provision. 15 of these are Primary schools and 11 are in Secondary schools.

Each provision is designated a number of places for a particular type of need. The place number is agreed as part of the annual commissioning cycle. Reductions in agreed place numbers are always managed in consultation with the school.

Enhanced Provisions are funded for two elements; Place Funding and Pupil Top-Up Funding.

Any adjustments for in year starters and leavers are made by the SEN Planning & Provision Team so that Schools are correctly funded for the Essex pupils who are on roll.

Place Funding

In 2017/18 Enhanced Provisions are funded £10,000 per Place and this comes from the High Needs Block.

Essex maintained schools receive this funding from ECC and it is shown on the Section 251 Budget Statement under the heading 'Place Funding for Enhanced Units'.

Academies receive this funding from the ESFA.

Enhanced Provisions in Mainstream Schools & Academies

Pupil Top-Up Funding – Banding

Currently, the SEN Pupil Top-Up Funding for Enhanced Provisions is based on an Average Pupil Rate (see the following page for details). With effect from September 2017, a new way of funding will be phased in. Pupils will be 'Banded' according to their need using a Banding Matrix and each Band will attract a monetary value. There are 12 Banded funding levels and the value associated with each level will range from £0 to £40,000.

Band 0	£0
Band 1	£1,800
Band 2	£2,700
Band 3	£4,800
Band 4	£7,500
Band 4+	£8,500
Band 5	£10,000
Band 6	£15,000
Band 7	£20,000
Band 8	£25,000
Band 9	£30,000
Band 10	£40,000

The Band will be determined using the 'Essex Banding Descriptors Matrix' in conjunction with discussions with schools and SEN professionals. The Matrix is a tool which combines descriptions of a pupil's needs to generate a proposed financial allocation to support those needs. The preferred procedure is that EP/Specialist Teacher/Statutory Assessment officers and the school independently complete the banding matrix. If a consensus is reached then no detailed discussion is necessary and the band can be agreed provided all parties are happy that the resource allocation is fair for that pupil's provision requirements. Where discrepancies in the proposed band exist then these cases must be discussed at Local Management Team and a band agreed. It is essential the enhanced provision headteachers are involved in the allocation and moderation of bands allocated to enhanced provision pupils. In all cases the matrix acts as a guide and the final decision regarding the band allocated rests with the Local Authority.

More information on Banding and the Essex Banding Descriptors Matrix can be found here <https://schools-secure.essex.gov.uk/pupils/sen/Pages/Banding-Descriptors.aspx>

Banding is being introduced on a phased basis. Banding of a High Needs pupil should be completed at every key stage change for all EHCPs from September 2017. In addition, a move in to or out of enhanced provision will also require the process of banding to be completed using information obtained from the school as part of the review of the placement.

Where a pupil starts at an Enhanced Provision part way through the financial year, their funding will be pro-rated on the number of school days on roll. There are 194 school days in the 17/18 financial year so the Band value is divided by this number and then multiplied by the number of school days the pupil is on roll for over the remainder of the financial year. See Appendix D for the SEN Top-Up Funding Calculator.

Enhanced Provisions in Mainstream Schools & Academies

Pupil Top-Up Funding – Average Rate

For those pupils who are not Banded, SEN Pupil Top-Up will continue to be funded on the 'Average Pupil Rate'. These rates differ for each Enhanced Provision type:

Primary Severe Learning Difficulties	£11,576
Primary Speech & Language	£599
Primary Hearing Impaired	£7,288
Primary Autism Support Centre	£8,373
Secondary Hearing Impaired	£11,690
Secondary Speech & Language	£8,729
Secondary Dyslexia	£4,035
Secondary Autism Support Centre	£10,261

The Average Pupil Rate was used in April 17 to calculate the budget for Enhanced Provisions.

Where a pupil starts at an Enhanced Provision part way through the financial year, their funding will be pro-rated on the number of school days on roll. There are 194 school days in the 17/18 financial year so the rate is divided by this number and then multiplied by the number of school days the pupil is on roll for over the remainder of the financial year. See Appendix D for the SEN Top-Up Funding Calculator.

It is intended that SEN Pupil Top-Up at the Enhanced Provisions will be at a similar level that it is currently, meaning some pupils may receive slightly more than they do currently and some may receive slightly less but on average the total amount will be the same. Headteacher involvement in the banding and moderation process is essential.

Enhanced Provisions in Mainstream Schools & Academies

Staffing Ratios

Under the current average top up system the level of resource is linked to the staffing structure it is intended to provide for. When banding is fully implemented provisions will have flexibility to adjust their staffing profile in line with the bands of pupils they admit.

Each Provision is funded for a Teacher in Charge, who should have a specialist qualification relevant to the provision;

Each Provision is funded for a High Level Teaching Assistant 25 hrs per week;

Each Provision is funded for a Midday Assistant 6.25 hrs per week (unless otherwise stated below)

Each Provision is funded 15 minutes admin support per place per week;

Each Provision is funded £210 per fte. for staff training;

Each Provision is funded £105 per place for resources (unless otherwise stated below)

The following pupil to adult ratios applies:

	Teacher	LSA	Communicator	MDA	Resources
Dyslexia - Secondary	1:8	1:4	-	-	-
Hearing Impaired – Primary	1:6	1:3	1:12	-	£526
Hearing Impaired – Secondary	1:6	1:3	1:6	-	£526
Severe Learning Difficulties - Primary	1:15	1:1	-	1:1	£420
Speech & Language – Primary	1:10	1:5	-	-	-
Speech & Language – Secondary	1:5	1 per year group	-	-	-
Autism Support Centre – Primary	1:8	1:2	-	7.5hrs	£500
Autism Support Centre – Secondary	1:7.5	1:2	-	7.5hrs	£500

Non Essex Pupils in Essex Schools, Academies and Free Schools

ECC will not fund any non-Essex High Needs Pupils who attend an Essex School, Academy or Free school. It is the responsibility of the school to seek the Top-Up Funding for that pupil directly from the pupil's funding authority.

The following circumstances will determine if a pupil is the financial responsibility of another authority

- The pupil is normally resident at a non-Essex address and is not a Looked After Child
- The pupil is a Looked After Child to another Authority (even if the pupil lives with carers in Essex and ECC administers their EHCP/SEN Statement, they are still the financial responsibility of the Authority who Looks After them).

The following website can be used to determine the district that a pupil's home postcode is located in:

<https://www.gov.uk/pay-council-tax>

The level of funding that a school should charge the pupil's home authority should be in line with ECC's funding scheme. So the pupil should either be:

- Banded using the Banding Matrix
- Allocated a cash sum equivalent to a number of hours of support if in a Mainstream school
- Allocated the Average Pupil Rate if in a Special school, Special Academy or Enhanced Provision.

When the banding scheme is fully implemented the OLA will simply be charged the agreed top up band for the pupil.

Specialist Equipment Budget

The Specialist Equipment Budget (sometimes referred to as the High Cost Budget) provides equipment for individual children with clearly identified SEN who require equipment to support their access to the curriculum. This budget is primarily for pupils with an EHCP/SEN Statement; however some pupils with a sensory impairment and or physical difficulty may access this budget without a statutory plan.

This budget is for the provision of portable equipment for named individual pupils with an EHCP/SEN Statement in mainstream schools and is administered by the Specialist Teaching Team. Types of equipment include; specialist seating and standing frames, communication aids, specialist toileting equipment, VI & HI specialist equipment etc. With the exclusion of most VI and HI equipment, the majority of specialist equipment is provided through Essex Cares Ltd (ECL). ECC has a contract with this supplier so, where possible, ECL should be used before ordering equipment from any other supplier.

Provision of equipment will also include servicing, maintenance and repair (if necessary). In a situation where a child has an expensive piece of equipment that needs additional modification, this budget would fund the modification.

Equipment remains the property of ECC/ECL and is expected to be returned to ECL or area bases via the Specialist Teacher Team when no longer required or when the child leaves school/moves from Essex.

Thresholds for provision of equipment:

Mainstream Schools	Individual items under £30 to be provided by the school
Special Schools (funded in exceptional circumstances)	Individual items under £300 to be provided by the school

Assessment for Equipment:

Generally, there is an indication within the EHCP/SEN Statement that ‘Specialist Equipment’ should be provided at an appropriate time. Within an Annual Review report this equipment would be more clearly defined and would be requested using the agreed process. In some instances, equipment is requested by therapists using the online system Uniquis. An ECL enquiry form is attached to evidence whether the item is in stock or needs to be ordered by ECL. Requests come to Specialist Teaching and Preschool Managers for approval via Uniquis.

Under 5’s:

Seating equipment is exceptionally provided for under 5’s in Early Years settings in line with Government funding for 3yr olds/4yr olds. Requests for under 3’s will be considered and Team Managers will be informed of all requests, regardless of cost. Children under 2.5 years access funding for equipment through their setting and the Early Years Inclusion Grant.

Specialist Equipment Budget

Requests for Specific Specialist Equipment

Laptop Requests	Specialist Seating and Portable Access Equipment Requests
If requested at AR and not in the EHCP/SEN Statement, request goes to LMT for discussion with STM. There is an expectation that a laptop or similar equipment would be provided by the school as this type of equipment is no longer considered exceptional	Budget funds all portable access equipment (except wheelchairs and walkers that are provided by CCGs). Supportive seating/portable hoists and transfer/handling equipment are assessed by an OT/Physio in the school, with the Specialist Teacher, school H&S rep/SENCO, parent and usually the equipment supplier. OT/Physio request equipment through Uniquis for approval by ST area manager (STM).

Equipment that should be provided by Essex Schools and Enhanced Provisions

- Laptops/computers (including Dyslexia Enhanced Provisions)
- Printers
- Educational software such as Clicker and Communicate in Print
- Individual pieces of equipment under £30 (Mainstream Schools) or £300 (Special Schools)
- Radio aids (Hearing Impaired Enhanced Provisions)
- ECC would not fund radio aids in Hearing Impaired Enhanced Provisions or laptops in Dyslexia Enhanced Provisions. These items should be provided by the Enhanced Provision through their Enhanced Provision funding.

Pupils placed in Independent Special Schools

ECC should not fund Specialist Equipment for individual pupils placed in Independent Special Schools. Schools are consulted prior to placement on the grounds that they can meet the needs and provision for the pupil as described in their EHCP/SEN Statement. Statutory Assessment Service (SAS) need to be clear about equipment responsibilities in their discussions with schools. For example, a school for pupils with a Visual Impairment would be expected to meet the learning, and access to learning, needs of Essex pupils with a visual impairment that are placed by ECC.

Very exceptionally, where there are newly identified needs or a major change in need, a request might be made for equipment funding. For example, an exception might be a pupil in a school for pupils with a physical impairment who was further identified with a hearing loss and who required the provision of a radio aid - this equipment would be beyond the specification of the school.

The Educational Psychologist or Specialist Teacher attending the Annual Review should make themselves aware of these equipment guidelines and ensure that any Independent School is also aware of their responsibilities.

ALL requests should go to LMT panel meeting with appropriate evidence of need and assessment, for a decision and if agreed a purchase order is raised through the Specialist Teacher Team High Cost Budget process.

Specialist Equipment Budget

Equipment for Essex Pupils Attending an Other Local Authority School

Following the abolishment of Inter Authority Recoupment in 2013, Authorities should only purchase equipment for pupils for whom they are financially responsible. Requests from Other Authority schools for additional equipment should ALL go to LMT panel meeting. As these are LA Maintained schools, equipment (if there is reference to need within the EHCP/SEN Statement or evidence of need and an adequate assessment) would normally be provided through ECC. LMT panel meeting may wish to share papers with an STM/Specialist Teacher for a view on the appropriateness of the request. There is an IT assessment form which could be sent to schools requesting additional IT equipment.

Inward transfers

There may be a small number of cases where there is an inward transfer to an Essex Mainstream school of a pupil previously placed in an Other Local Authority school who has additional equipment, such as specialised seating. The Other Local Authority may offer the equipment for ECC to purchase. These cases should be taken to LMT to ratify the agreed cost and arrange payment and transfer details.