

Operational Guidance on High Needs Banding and Top Up

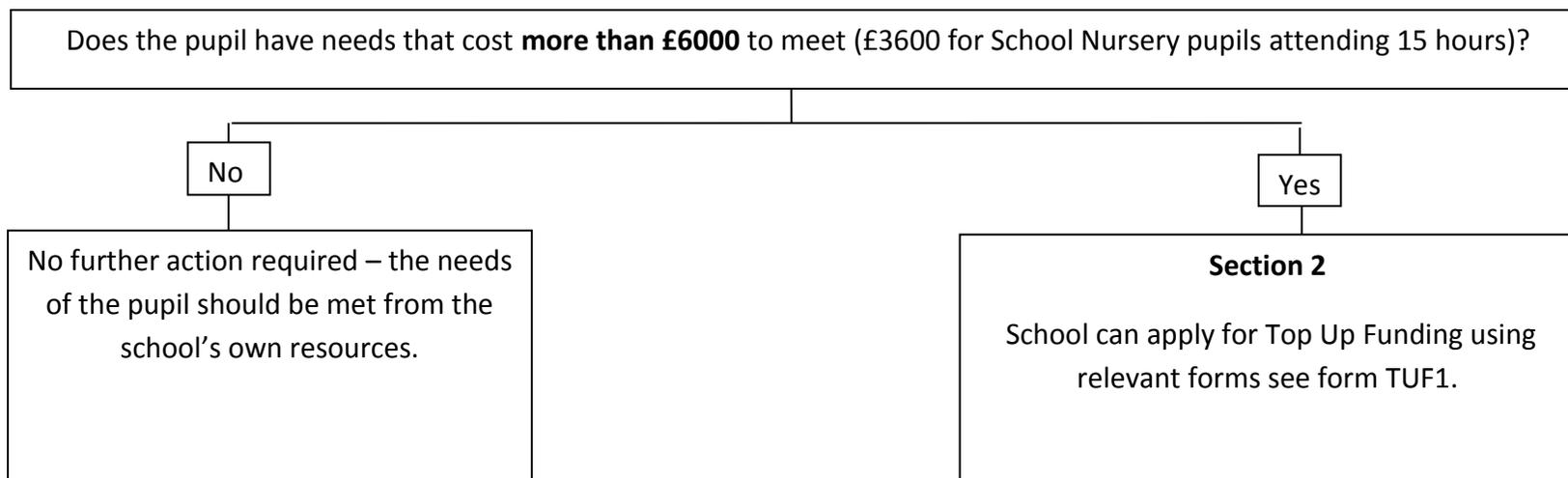
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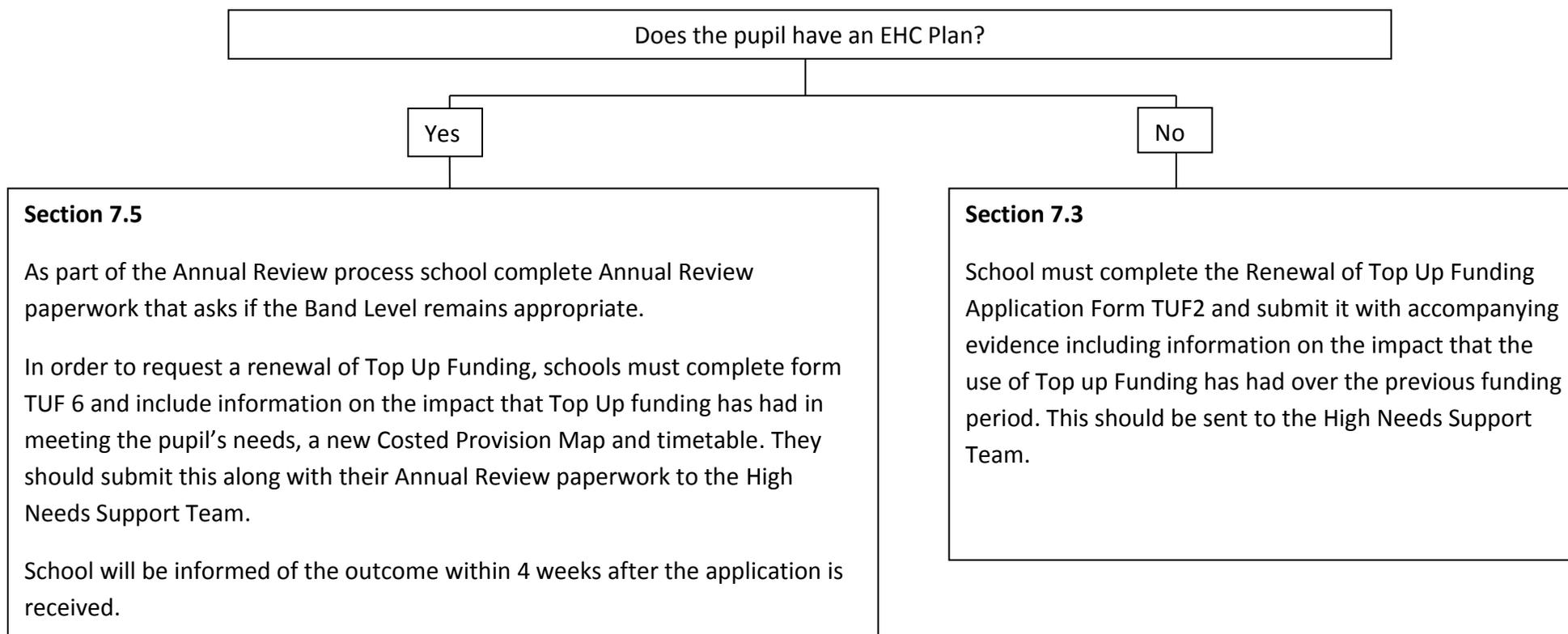
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Pathway A – How additional funding can be accessed for a pupil with High Needs in a Mainstream Setting



Pathway B – Process to follow to make a renewal application Top Up Funding



Section 1 – Principles of High Needs and Top Up

Rationale

- 1.1 The SEND Code of Practice 2015 implemented significant reforms in relation to the approaches to supporting children and young people with Special Educational Needs and Disabilities. High Needs Banding and Top Up Funding are part of that new continuum of support that is expected to be followed when seeking to support a child or young person's special educational needs. A clear outcomes-based approach will be required in order to ensure that the support provided is having a positive impact for that child or young person.

Definition of High Needs

- 1.2 This guidance is to support schools in applying to the Local Authority for additional funding to support those pupils who have been identified as having high needs. Liverpool City Council defines High Needs pupils as:

- Those whose development/learning and or behaviour needs require support that is significantly “additional to” or “different from” the differentiated curriculum and educational provision made generally for children or young people of their age in mainstream schools.

AND

- When offering that support there is irrefutable evidence that the cost to the school per annum is more than the Element 1 funding (£4,000 which is met from the Age Weighted Pupil Unit (AWPU) and other pupil led factors) + £6,000 Element 2 funding. The Element 2 funding comes from the school's notional SEN budget which is part of the school's budget share and not additional to it for mainstream schools.

AND

- When having been offered that support, there is evidence from school progress data and a compelling argument that more accelerated progress could be made if additional resources were provided and the school has a specific costed action plan (which might be part of an Education, Health and Care Plan) which outlines how High Needs Block funding would enable specific, measurable and achievable outcomes for the child or young person to be made.

Funding

- 1.3 In mainstream, schools' funding is allocated via three elements - element 1, element 2 and element 3:
- Element 1 funding is the Age Weighted Pupil Unit (AWPU) plus the share of other pupil led elements. This is generally taken to be £4,000 nationally and applies to every pupil regardless of whether they have SEN or not.
 - Element 2, is an amount of money taken to be £6,000 per HN pupil. The "notional SEN budget", allocated to schools based on a locally determined formula should cover the needs of High Needs pupils plus the lower level SEN needs of all pupils in a mainstream school. This allocation is part of a mainstream school's budget share and not additional to it (for more information on this contact Schools Finance).
 - Element 3 - Schools can apply for element 3 funding for an individual pupil if they can show that the provision required to meet their individual needs will cost more than £6,000 per year. This funding is delegated from central government to Local Authorities and sits within the "High Needs Funding Block".
 - In Special Schools funding is provided for pupils from the High Needs Block via £10,000 base funding and an allocation to cover the difference between the £10,000 and the total cost of the agreed funded place on a banded system.
- 1.4 For the purposes of this process, mainstream schools will have to account for the spend of the £6,000 element 2 funding on a pupil's individual support and in specialist settings, the total funded place (base funding and "Top Up" as detailed on the next page).

	Pre-16 SEN and AP		Post-16 SEN and LDD
	Mainstream settings	Specialist settings	All settings
Element 1: Core education funding	Mainstream per-pupil funding (AWPU) £4,000	Base funding of £10,000 for SEN placements which is roughly equivalent to the level up to which a mainstream provider would have contributed to the additional support provision of a high needs pupil. Base funding is provided on the basis of planned places.	Mainstream per-student funding (as calculated by the national 16-19 funding system)
Element 2: Additional support funding	Contribution of £6,000 to additional support required by a pupil with high needs, from the notional SEN budget		Contribution of £6,000 to additional support required by a student with high needs
Element 3: Top-up funding	"Top-up" funding from the commissioner to meet the needs of each pupil or student placed in the institution		

This diagram is adapted from Figure 1 (p.43) of the DfE publication - *School funding reform: Next steps towards a fairer system*.

Section 2 - Pupils in Mainstream Schools on SEN Support or with an Education, Health and Care Plan (EHCP)

Which pupils can schools apply for?

- 2.1 It is the Local Authority's aim to support as many pupils to access their education within their local mainstream school as possible. Schools are expected to follow the graduated approach, specifically with reference to Liverpool's Continuum of Provision Document. With this in mind, it is hoped that by providing appropriate Top Up Funding, pupils with even the most significant levels of additional need can be educated within their local communities.
- 2.2 Where a pupil has been identified as requiring SEN Support and the annual provision of this costs more than £6,000 (£3,600 for School Nursery pupils attending 15 hours), schools are able to apply for Top Up Funding from the Local Authority.

- 2.3 Similarly, where a pupil has an Education, Health and Care Plan and the annual provision of the support required costs more than £6,000 (£3,600 for School Nursery pupils attending for 15 hours) schools are able to apply for Top Up Funding from the Local Authority.

How to make a Top Up Application

- 2.4 In order to make a Top Up application, a school will need to complete and submit the required documentation to the High Needs Support Team:

- Application Form TUF1 for Top Up Funding including the banding document checklist– showing what banding level the school feels that the pupil’s needs fit into.
- Costed provision map – setting out clearly the cost of the individualised special educational provision put in place for the pupil to show that this exceeds the £6,000 to be provided by the school. The SEND Code of Practice, Section 6:15, defines special educational provision as ‘provision different from or additional to that normally available to pupils of the same age.’ This cannot include anything that would be considered as part of the general infrastructure of the school and available to all pupils (for example, the time of the SENCO to attend meetings or plan support, teacher time for meetings, general resources cannot be included). See Form TUF1.
- Evidence of the needs of the pupil. See the application form for the checklist of required evidence to submit. School should ensure that the evidence highlights how the pupil’s special educational needs meet the banding level suggested by them. For pupils with an EHC Plan, a copy of that and the professional advices attached to that document must also be included in the submission.
- Applications that are not **fully completed** in accordance with the guidance notes or that do not contain the evidence required will be returned to the setting and not accepted for consideration. Settings will be expected to resubmit to the required standard and the application will then be marked as received and **processed from that date**.

How is an Application considered?

- 2.5 Once the Local Authority receives an application for Top Up Funding it will be considered by the High Needs Support Team.
- 2.6 For pupils without an EHCP the pupil will be banded against the Local Authority Banding Criteria and allocated a Band Level 1-5. This decision is based upon the evidence submitted by the school to demonstrate how a pupil’s special educational needs fit against the descriptors in that Band Level.

Each Band Level has a maximum funding amount attached to it (See Section 5).

- 2.7 The Costed Provision Map and Timetable are then reviewed to determine how much Top Up Funding the school is seeking and to agree whether or not the costs claimed are eligible to be paid. Where the school is seeking to pay for an additional member of staff, verification of the hourly rate must be provided i.e. copy of the payroll.
- 2.8 The amount of funding agreed is determined by the costs submitted in the Costed Provision Map and the maximum amount that can be awarded via the Band Level allocated to the pupil.
- 2.9 Any applications that are particularly complex will be considered by the High Needs Panel which meets on a fortnightly basis and consists of representatives from the Local Authority and primary and secondary schools.

How are schools notified of the outcome?

- 2.10 Schools will be notified of the outcome of their application by email to the school representative within 4 weeks of the application being received. This will set out the Band Level allocated to the pupil and the amount of money to be provided to the school as Top Up Funding. Schools should not contact the High Needs Support Team via telephone or email asking for their results within the 4 week period as this affects the team's capacity to process outcomes.

How long is Top Up Funding agreed for and how is it paid?

- 2.11 Top Up Funding will usually be initially agreed up to a maximum of three terms and will be paid to schools at the end of each term, in arrears. When top up has been agreed for pupils with an EHCP, where possible the LA will try to bring the payment terms in line with the pupil's annual review.
- 2.12 At the end of the funding period, if the school feels that the support will need to continue, it will need to submit a further application requesting to extend the Top Up Funding for up to a further 12 months – see Section 7 for renewals.
- 2.13 The number of terms agreed will be subject to a number of factors, for example, where a child has a low attendance level, an initial term may be agreed to determine whether the Top Up Funding has any impact upon this.
- 2.14 Top Up Funding, if agreed, will start from **the date of the application** at the earliest, and only when the application is submitted with fully completed paperwork and evidence supplied. If the application is incomplete, the funding will only be agreed to commence **from the date that all relevant paperwork and information is received by the High Needs Support Team**. Funding

will not be backdated before these dates. However any applications received within 2 weeks of the term end will be allocated funding from the following term. This is to enable the High Needs Team to process any payments to schools in a timely manner at the end of each term. Schools can also request the Top Up funding to start at a later date than the application date, for example, if they intend the support to commence at the start of the next term.

- 2.15 Where an application is unsuccessful, the setting will be notified of the reason for this and it is then the responsibility of the setting to meet the child's needs from their delegated budget.

Section 3 - Pupils in Special Schools and Resourced Provision

How is a Band Level allocated? - Pupils with Education, Health and Care Plans

- 3.1 As part of the EHC assessment process, a pupil's special educational needs will be considered in accordance with the evidence provided and Liverpool's Banding Criteria.
- 3.2 When the Draft EHC Plan is sent to a school for consultation, the school will be asked to consider what band would be appropriate for that pupil. Their response is taken into consideration by the LA when a final decision is made on the band to be applied. This decision is notified to the school as part of the letter accompanying the final EHC Plan. If at any point in the future the school feels that the band is no longer appropriate, the setting can raise this as part of the annual review. Suitable evidence will be required to verify any change in the pupil's needs.

How is a Band Level allocated? - Pupils without Education, Health and Care Plans in Resourced Provision

- 3.3 In the majority of situations, it is likely that a pupil moving into Resourced Provision will already have a Band Level as their previous mainstream school will have followed the graduated approach to meeting their special educational needs and have received Top up Funding. If this is the case, the school should notify the resourced school of this as part of the transfer process.
- 3.4 If the pupil does not already have a Band Level (because Top Up Funding has not previously been in place for them in their mainstream school) the pupil will need to be banded against the Local Authority Banding Criteria and allocated a Band Level 1-5. This decision is based upon the evidence submitted by the school to demonstrate how a pupil's special educational needs fit against the descriptors in that Band Level. The school should complete the banding

checklist document within Form TUF5 and submit this with accompanying evidence to the High Needs Team.

How is Top up Funding received in Special Schools?

3.5 The School will automatically receive the value of the Band Level allocated to the pupil. (See Section 5 for the funding available against each Band Level). Special Schools do not need to apply for this funding. School Finance will adjust budgets on a termly basis to take account of pupils moving in and out of the school. In the majority of cases, the funding provided to schools via the amounts allocated in Bands 1-5 will meet the full range of pupils' additional needs.

Making an application for Top Up funding for pupils in Special Schools

3.6 When exceptional circumstances do arise and additional needs are identified which will cost over and above the pupil's band funding, the school will need to work in partnership with relevant agencies to develop a costed provision map which identifies and provides evidence of the costs and apply for any additional Top up Funding that is required. Special Schools will be required to complete TUF5 form and submit it with any other relevant documentation to the High Needs Team and, where possible, discuss the change in a pupil's needs with their Education Officer.

- Once all the completed paperwork is received, the application will then be considered by the Education Placements Panel. If the application is agreed, the funding will be allocated from the date the completed application was received and paid at the end of each term. The continuation of Top Up funding will be reviewed annually as part of the pupil's annual review or as specified by the panel. However any applications received within 2 weeks of the term end will be allocated funding from the following term. This is to enable the High Needs Team to process any payments to schools in a timely manner at the end of each term. Schools can also request the Top Up funding to start at a later date than the application date, for example, if they intend the support to commence at the start of the next term.
- Where an application is unsuccessful, the setting will be notified of the reason for this and it is then the responsibility of the setting to meet the child's needs from their delegated budget.

How is Top up Funding received in Resourced Provision?

- 3.7 The School will automatically receive the value of the Band Level allocated to the places in their budget. Schools do not need to apply for this funding. Resourced Provisions would be expected to be able to meet the special educational needs of the vast majority of their pupils through the Band funding that is allocated to them through this process. In exceptional circumstances a school may need to request additional Top Up Funding above the Band funding where a child's needs require an exceptionally high level of support.

Making an application for Top Up Funding for pupils in Resourced Provision

- 3.8 In order to make a Top Up application, a school will need to complete and submit the required documentation to the High Needs Support Team:
- Application Form TUF5 for Top Up Funding including the banding document checklist– (where applicable) showing what banding level the school feels that the pupil's needs fit into.
 - Costed provision map – setting out clearly the cost of the individualised special educational provision put in place for the pupil to show that this exceeds the band funding the school receives. Evidence of the needs of the pupil. See the application form for the checklist of required evidence to submit. School should ensure that the evidence highlights how the pupil's special educational needs meet the banding level suggested by them. For pupils with an EHC Plan, a copy of that and the professional advices attached to that document must also be included in the submission.
 - Applications submitted on the wrong forms or that are not fully completed in accordance with the guidance notes i.e. do not contain the evidence required, will be returned to the setting and not accepted for consideration. Settings will be expected to resubmit to the required standard and the application will then be marked as received and processed from that date. However any applications received within 2 weeks of the term end will be allocated funding from the following term. This is to enable the High Needs Team to process any payments to schools in a timely manner at the end of each term. Schools can also request the Top Up funding to start at a later date than the application date, for example, if they intend the support to commence at the start of the next term.
 - Where an application is unsuccessful, the setting will be notified of the reason for this and it is then the responsibility of the setting to meet the child's needs from their delegated budget.

Section 4 – Pupils in Specific Circumstances

Pupils undergoing transition in mainstream settings

- 4.1 Ordinarily the Local Authority would expect a pupil to be on roll and present before a school could make an application for Top Up Funding.
- 4.2 However, the Local Authority recognises that in the case of transition, good partnership working between colleagues in different settings and robust forward planning are crucial elements in supporting pupils identified as having high needs to make a successful transition. This transitional arrangement will help ensure that the right level of support is available to the pupil while the receiving setting gets a better understanding of the facilities and resources required to meet the pupil's long term needs.
- 4.3 The Local Authority will accept an application (containing the usual information detailed in Section 2) for Top Up Funding from a setting for pupils who have been awarded a place but are not yet on the receiving setting's roll. This must be submitted on the application form for Transitional Top Up Funding – Form TUF 3. This will apply for transition in the following situations:
- A child moving from a nursery to a reception place.
 - A child moving from an infants school to a separate junior school
 - A child moving from a primary school to a secondary school
 - A child moving between settings during the school year
 - A young person moving from secondary school to a further education setting

For those pupils about to undergo a transition to a new phase of education in September, it is expected that applications would be received throughout the preceding summer term.

- 4.4 The pupil's case will be considered by the High Needs Support Team/appropriate panel. Where agreed, one term's worth of Top Up Funding will be awarded. If, after a term, the school requires further Top Up Funding to meet a pupil's needs, the setting would need to submit a further application to the High Needs Support Team using TUF1 for mainstream pupils and a TUF5 for Resourced Provision/Special School pupils.
- 4.5 Applications that are not fully completed in accordance with the guidance notes or that do not contain the evidence required will be returned to the setting and not accepted for consideration. Settings will be expected to resubmit to the required standard and the application will then be considered

as received and processed from that date. Where an application is unsuccessful, the setting will be notified of the reason for this and it is then the responsibility of the setting to meet the child's needs from their delegated budget.

Pupils whose needs have changed – short term or long term

- 4.6 Subsequent to the Top up Funding application being approved, some pupils may experience a short or long term change to their level of needs. In these exceptional circumstances, the school may identify the amount of additional resource that would be required to meet the new short or long term needs and re-apply to the High Needs Support Team for a reconsideration of the Top Up Funding awarded.
- 4.7 Short term changes may include physical needs during the recovery period after an operation.
- 4.8 Long term changes may include a deterioration in health needs including medical or mental health, an escalation in social or emotional needs, or an acquired brain injury resulting in further support needs.
- 4.9 The application for additional funding will be considered by the relevant panel and account will be taken as to whether the additional support requirement is short or long-term.
- 4.10 For pupils in mainstream Settings additional funding may be allocated by moving the pupil to a higher band if it is deemed that the support is long term and can be delivered within the funding allocated to a higher band. Alternatively, where the support is short term an element of additional Top Up Funding may be made available in addition to the funding already provided by the existing Band. When determining the amount of Top up Funding, consideration will be given to the current funded place.

Personal Budgets

- 4.11 In certain circumstances, where Top Up funding is awarded for pupils with an EHCP, an element of the funding allocated may be requested as a Personal Budget. All requests for Personal Budget will be considered in line with Liverpool's [Personal Budget Policy](#).

Health Needs

- 4.12 Where additional funding is required to meet a pupil's support that is partly health related and the pupil satisfies or is likely to satisfy the continuing care criteria, the school can submit an application for Top Up Funding to the High Needs Team. The amount of funding allocated will be determined by the cost of any additional support paid for by the school, taking into consideration the

current funded place and any funding contribution paid for by the support from Health. Should the LA be required to recoup an element of funding provided to the school from Health, the school will be required to support the LA with any evidence and fulfil any requirements as part of Liverpool CCG Continuing Care Protocol.

- 4.13 Where a pupil has health needs and does not meet continuing care but does not have any educational needs, schools would be expected to liaise with the specialist nurses and their own school nurse for advice and support and will be expected to implement such support from their own resources. Only in exceptional circumstances will Top Up Funding be made available to support pupils where a medical need is their only need. Supporting evidence from a relevant health professional outlining any additional support as part of the child's medical plan will be required in these circumstances.

Pupils in Early Years

- 4.14 Children who are attending a school nursery place will be eligible to apply for Top Up Funding under the same procedures as pupils of statutory school age. The time attended by children in a school nursery place will be taken into consideration when determining the amount of support the school will be expected to provide. For pupils attending 15 hours this will be an initial £3,600 of support from within their own budget before being eligible for Top Up Funding (calculated on the basis of nursery being 15 hours per week as opposed to 25 hours for statutory school age - thus 60% of £6,000). See section 2 for the application process.

Independent Mainstream Schools

- 4.15 Independent mainstream schools are not eligible to apply for Top Up Funding from the Local Authority as they are funded from different sources and operate under their own processes. They would be expected to make their own arrangements for supporting any pupils with High Needs.

Other Local Authority Pupils in Liverpool Mainstream Schools

- 4.16 A school would be expected to meet the first £6,000 of support needs for a pupil from its own notional SEN budget.
- 4.17 For any Top Up Funding required the school should apply directly to the other Local Authority using that Authority's forms and processes and receive payment directly from that Local Authority. Each Local Authority operates Top Up Funding in a different way so schools should not assume that another Local Authority will follow the same process as Liverpool.

Other Local Authority Pupils in Liverpool Resourced Provision or Special Schools

- 4.18 A school would be expected to be able to meet the majority of pupils' needs through the total funded place - base funding and Top Up.
- 4.19 For those pupils where support needs are in excess of this funding, the school should apply to the High Needs Support Team to set out specifically the evidence demonstrating the need for additional support and the costs assigned to that support. This is the same process as supporting a Liverpool child with additional needs. (See section 3 for the application process.)
- 4.20 The High Needs Support Team and the school should liaise with the assigned Education Officer who will then liaise with the other Local Authority to agree the support and costings, and will confirm this with the school and High Needs Support Team before any payment is made to the school.
- 4.21 Once the other Local Authority have agreed to pay the cost of the additional support, Liverpool Local Authority will pay this money directly to the school itself and then recoup the money from the other Local Authority. The school does not need to liaise with the other Local Authority in terms of payments.
- 4.22 In **all** circumstances, Liverpool Local Authority must agree any placement of pupils from other Local Authorities in Resourced or Special School provision prior to any agreement between the school and those Local Authorities taking place. This is to ensure that priority is given to Liverpool pupils where places are restricted.

Changes of Placement during Top Up Funding

- 4.23 When a child or young person changes or leaves school during an agreed period of Top Up Funding, the school must notify the High Needs Support Team as to the date that they leave the school. A TUF4 Impact Report must be completed and submitted demonstrating the impact that Top Up funding has had on supporting the child's/young person's needs, before the High Needs Team will make any final Top Up payments due. Similarly, if a child/young person receives a short term placement in a student support centre or similar setting, or if the pupil is granted study leave and is not accessing the agreed support, the school should also notify the team of this change so that if appropriate any agreed adjustments to payments can be made.

When a child or young person changes education establishment, the funds do not automatically transfer across with the child or young person to the new setting. The school the pupil is transferring to would be responsible for making a new application if additional funding was required.

Queries in relations to decisions

4.24 In the event of a school querying any elements of their application or disagreeing with the outcome of a decision in relation to Top Up Funding, discussions should initially be held with the High Needs Support Team tel: 0151 233 5958 or email highneedssupportteam@liverpool.gov.uk

Section 5 – Banding Amounts

5.1 Each Band has a maximum financial amount attached to it which equates to how much a mainstream setting will be paid up to based on their agreed costed provision map. For example, a school with a pupil agreed to be at Band 4 would receive up to £8,645 paid as Top Up Funding. If the Provision Map showed only £5,500 was required as Top Up Funding that would be the amount allocated, not the full £8645.

Band Level	Maximum Band Amount
Band 1	£595
Band 2	£2,036
Band 3	£4,792
Band 4	£8,645
Band 5	£10,454

Section 6 - Mainstream Schools - Elements of Support that can be applied for

6.1 Schools are reminded that costings can only be included for provision that is additional to and different from the provision generally made available to all pupils within the school.

Element 1 Funding

6.2 Element 1 funding is not considered as part of the provision map and costs associated with this element cannot be included in the provision map. This includes:

- Class teacher time

- SENCO time - The SENCO has day-to-day responsibility for the operation of SEN policy and coordination of specific provision made to support individual pupils with SEN, including those who have EHC plans. It is therefore at the school's discretion as to how they deploy their SENCO and any costs relating to them cannot be claimed
- Learning Mentor time
- Senior Leadership time in involvement with children and young people

This also includes similar roles such as Pastoral Care

Element 2 & 3 Funding

6.3 For the purposes of the provision map, schools will need to set out what they have spent/are spending their Element 2 £6,000 on and what additional amount above this is being requested as Top Up Funding. The general methodology applied is that only additional costs that are incurred by the setting to meet a child or young person's individual needs through commissioning additional support or resources will be considered. Costs attributed to existing staff members that are already part of the school running costs such as the SENCO or Learning Mentor will not be considered.

- In relation to specific resources, as with other elements of support, this must be additional to and different from resources that would normally be provided for other pupils within the school and must be contributing towards specific outcomes for the child or young person. (General resources would be expected to be purchased from Element 1 funding.) These resources will remain the property of the school and so when a child moves on to a different placement it will be down to individual schools' discretion as to whether they allow the resource to transfer with the pupil. Should a school decide to keep them, they would be expected to recycle them, where practicable, and use for other pupils who may require additional support.

6.4 Other Elements of Support that schools may be considering applying for

- Provision for small group or 1:1 support:
 - When applying for funding for 1:1 support, schools will need to be clear as to why they are putting this support in place and what outcomes they are seeking to make an impact on with the support. The Provision Map needs to make it clear as to the grade and pay rates of the staff member required and the application should include the Job Description/Person Specification of the role, as well as a copy of the payroll for the staff member. If the staff member has yet to be recruited, the establishment would be expected to submit a copy of this to the High Needs Team before

the end of the first term that top up funding has been awarded to avoid any delay in payments being made. If an agency or self-employed practitioner is being used to seek support, a copy of the invoices paid covering the cost of support would be sufficient evidence. This information will be used as part of the evidence for auditing and quality assurance of the funding.

- Schools should seek to deploy the correct level of staff member to provide the support required, not just the staff member that may be available. For example, a higher level teaching assistant hourly rate will not be paid where it is felt that the support could have been provided by a Teaching Assistant.
- For 1:1 support schools will be required to complete the 1:1 support information requested as part of the application form. This is to ensure there is a clear rationale behind the use of the 1:1, clear vision as to the contribution of the 1:1 in making a positive impact on the pupil's outcomes and a clear strategy as to time frames for the deployment of the 1:1, working towards achieving independence for the pupil, rather than a continued reliance on 1:1 support during their time at the school. This information is used for planning and monitoring and place planning of our specialist provision therefore it is important that as much detail as possible of the future support/provision required for the pupil is provided.
- Assessing the needs of a child:
 - Schools should be aware that they are able to carry out a number of assessments themselves without the need of external providers.
 - Schools may be able to access funding from Primary Consortia in order to carry out assessment of a child's needs through the use of external agencies.
 - In addition Primary Consortia receive an allocation of SENISS time to support the assess, plan, do review process and additional SENISS time may also be purchased to support schools.
 - Top Up Funding applications cannot include costs to pay for an assessment of a child's needs.
- Counselling, Therapeutic Services and Behaviour Analytic Support Services – These will be considered as part of an application in exceptional circumstances but the application must evidence why the school is initially unable to meet the needs of the child through accessing relevant support through universal and targeted services. The application must include details of the provider, and evidence as to the provider being able to create a positive impact on the child or young person's outcomes. Schools should look to

include details of the qualifications /CV of the service and again be specific in relation to the impact on the outcome being sought.

- Where a child/young person is Looked After there are a number of advice, support and targeted services that can be accessed through the Looked After Children's Education Service (LACES). For LAC pupils, High Needs Top Up Funding will not be agreed for any services that can be accessed through LACES.
- Breakfast and After School Clubs – attendance and support at Breakfast/After School Clubs will not be funded through Top Up Funding which is provided only for Special **Educational** Needs. Schools will need to consider how they provide support for these extra-curricular activities themselves.
- Transport to and from school and to other settings – Funding for transport will not be considered as part of the Top Up Funding application.
- Costs of a placement at alternative settings – Costs to place a child at another setting while still registered at the original school will not be considered – for example costs of student support centres or nurture provision.
- Training – Costs of staff training will not be considered as part of the Top Up Funding Application. Staff development and training needs should form part of the annual CPD planning process within the school.
- Funding for two people to support a pupil at the same time, for example, a 1:1 and a Therapist delivering individual support – for the majority of cases funding will not be provided for two people in these situations. When a pupil is having a session with another person it would usually be expected that the 1:1 support will not be required. Exceptional circumstances will be considered where a school can provide a clear rationale as to why the 1:1 support would be required in addition to the other element of provision.
- As previously set out, Top Up Funding will not be made available to support pupils with just health needs and no special educational needs except in exceptional circumstances. Schools are expected to liaise with the relevant health professionals to determine the appropriate way to implement support.

6.5 Maximum Rates of Pay and Hours of support provided

- For school based and self-employed staff who are employed or commissioned by the setting i.e. staff providing individualised support, the Local Authority will pay the maximum hourly rates inclusive of on-costs for those staff members:
 - Level 2 – £13.37 per hour
 - Level 3 – £14.58 per hour

- Higher Level Teaching Assistant - £16.90 per hour (only in exceptional circumstances with robust supporting evidence that this level of need is required)
- Board Certified Behaviour Analyst - £32.00 per hour
- Any claims above these limits will be reduced accordingly.
- For ICT Based equipment and resources the Local Authority will pay a maximum amount of:
 - Tablets (including IPad and Android Tablets) – £150
 - Lap Tops – £200
 - Any claims above these limits will be reduced accordingly.
- Maximum Hours of Support:
 - The Local Authority considers full time support across the curriculum to amount to 27.5 hours per week. Any claims for support above this limit will be reduced to 27.5 hours accordingly.
 - Support at lunch and unstructured times will only be agreed in exceptional circumstances with clear evidence of the requirement for this. In these cases the Local Authority will consider claims up to a maximum of 32.5 hours per week (6.5 hours per day). Where support is agreed during these additional times a clear strategy/plan must be submitted showing how this support will be reduced in the future. Establishments are expected to promote and support steps to independence and inclusion for the pupil.
 - Any claims for support in excess of the above hours will be reduced accordingly.

Section 7 – Reviewing Impact of Top Up Funding and Making a request for renewal of Top Up Funding

Reviewing Impact

- 7.1 The Local Authority has to be secure that the provision of support to children and young people has a positive impact upon their outcomes. As such, schools will be expected to provide a brief progress report at the end of the period of the Top Up Funding. This will focus upon the progress, attainment and independence of the pupil and any other factors that have been impacted upon by the use of Top Up Funding over the period that funding was provided

for. Top Up Funding is agreed on the condition that school will provide this report at the end of the Funding period, regardless of whether they intend to apply for further Top Up Funding. Where the school is requesting the funding to continue, they must demonstrate the need, outline the progress and impact that the funding has had. For mainstream and Resourced Provision pupils without an EHCP this can be done using the renewal application form TUF2.

Where a pupil has an EHCP and the school would like to request the funding to continue to support a pupil, this can be requested as part of the annual review using a TUF6 form. They will be required to demonstrate the progress and impact the funding has had meeting the pupil's needs and improving outcomes (see section 7.5).

When Top Up Funding is due to end, the final payment will be made once the final progress report has been received. Form TUF4 should be completed and submitted to the High Needs Team.

Quality Assurance

7.2 The Local Authority has a system of Quality Assurance (QA) in place to ensure that the funding provided to schools is producing a positive impact on the outcomes of the children and young people receiving the support and that the funding is being utilised appropriately and effectively. Schools will be informed by the High Needs Support Team that they have been selected for a Quality Assurance visit and an appropriate date arranged.

Schools will be advised by the High Needs Support Team as to the information that will need to be provided for the Quality Assurance visit at the same time as they are informed that they have been selected for a visit. They will need to provide appropriate evidence in relation to the provision implemented and its impact, along with any financial information e.g. access to payroll information and terms of employment of appropriate staff members. Relevant staff members such as the SENCo and any staff providing individualised support funded via the Top Up Funding may be required to be made available for interview purposes.

After the QA visit the High Needs Support team will analyse the findings and provide the school with an outcome letter, along with further recommendations of actions to be taken. School will also be informed as to any follow up actions the Local Authority may need to take.

Making a request for renewal of Top Up Funding

All requests for renewal of Top Up funding in mainstream settings will be considered by the High Needs Panel.

Pupils on SEN Support without an EHCP

- 7.3 Top Up Funding is usually initially agreed for three terms of support. During this period schools are expected to be continually monitoring and reviewing the support in line with the SEND Code of Practice's Assess, Plan, Do and Review cycle. At the end of this period, if it is felt that Top Up Funding is required to continue, the school will need to apply to renew this funding.
- 7.4 The school will need to complete the Application Form TUF2 to renew Top Up Funding and submit it with all of the relevant information to the High Needs Support Team as well as evidencing the impact that Top Up funding has had in supporting the child/young person. They will also need to complete an updated Costed Provision Map and Provision Timetable. If the application is agreed, funding will be agreed for up to a further three terms.

Pupils with an Education, Health and Care Plan

- 7.5 In order to ensure that the renewal process is as efficient as possible, schools will request their renewal of Top Up Funding as part of the Annual Review process. Part of the Annual Review paperwork will now contain a section on Banding and Top Up which the setting will need to complete as part of the paperwork. A TUF6 form will need to be completed which includes information required on the impact that any support provided through Top Up funding has had. It also includes the request for an updated Costed Provision Map and Provision Timetable which will also need to be completed and sent with a copy of the Annual Review paperwork to the High Needs Team.

Pupils in Special Schools

- 7.6 Whilst the school will not need to apply for renewal of the Top Up Funding provided through the pupil's Band, if they have been receiving additional Top Up Funding and some or all is still required to meet the pupils additional needs, the school can request this through the Annual Review process by completing the TUF6 form as per Section 7.5 above.

Pupils in Resourced Provision without an Education Health and Care Plan

- 7.7 Whilst the school will **not** need to apply for the renewal of Top Up Funding provided through the schools band, if they have been receiving additional top up funding and some or all of it is still required to meet the pupils additional needs, the school can request this by completing TUF2 and submit it with all of the relevant information to the High Needs Support Team as well as evidencing the impact that Top Up funding has had in supporting the child/young person. They will also need to complete an updated Costed Provision Map and Provision Timetable. If the application is agreed, funding will be agreed for up to a further three terms.