

**GUIDANCE TO SUPPORT TOP UP 2017/2018**

**School age panel**

**TWS Inclusion Service**

**Version 3 Final (March 2017)**

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***Top Up key messages will be on your tables when you attend Top Up panel as a decision maker.***

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| **The Local Authority, in conjunction with its partners, facilitate this decision making process. Without schools representation this decision-making is not possible and therefore the contribution of all colleagues is valued.****Many thanks for taking the time to read this guidance.**  |

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| **Section 1** | **General Information** |

**All schools/settings receive funding for all pupils under the National Funding Formula which came into effect on 01/04/2013. As part of the Code of Practice 2014 schools/settings have a statutory requirement to meet the needs of all pupils from their school based funding, making sure that any child with SEND gets the support they need. If a school considers that a pupil’s needs cannot be met by provision from existing school based funding, then they may apply to the LA for High Needs Block (HNB) funding via the Special Educational Needs team (SEN).**

**Top up funding is a contribution towards the total costs of funding for a pupil.**

**Top Up panels are held twice a year to consider allocation of this funding for both new applications and applications for continuation of existing funding using the Bristol Universal Descriptors (BUDs). The BUDs are a tool by which HNB funding is apportioned based on individual need. Top Up is currently held in November and April/May (depending on Easter) of each academic year with applications from North, South and East & Central schools/settings considered separately. Individual pupil details should be submitted by schools on a form provided, by the panel deadline date (usually 1 month before each panel week). With each submission you should provide full individual pupil Top Up application in triplicate, although only 1 copy of the full Annual Review will be needed. This must be brought to the relevant panel on the day by the person(s) participating in the panel as a decision maker.**

**Top Up panels are a partnership between** LA representatives and schools**.**

**Other Local Authorities**

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| **Pupil resident in…** | **Pupil attending school in…** | **Bristol Top Up Panel** | **Bristol SEN**  | **OLA** (OLA is Other Local Authority). |
| Bristol | Bristol | Yes | make decision via TU Panel | no involvement |
| Bristol | North Somerset | No | liaise with OLA and school | OLA make decision |
| Bristol | South Gloucestershire | No | liaise with OLA and school | OLA make decision |
| Bristol | Bath & North East Somerset | No | liaise with OLA and school | OLA make decision |
| North Somerset | Bristol | Yes | make decision via TU Panel | Bristol school invoices OLA for payment inform the relevant OLA following panel. |
| South Gloucestershire | Bristol | Yes | make decision via TU Panel | Bristol school invoices OLA for payment inform the relevant OLA following panel |
| Bath & North East Somerset | Bristol | Yes | make decision via TU Panel | Bristol school invoices OLA for payment inform the relevant OLA following panel |
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| **Dates****Dates, venue, timings and further practical arrangements for each Top Up panel will be communicated to you and will be available on TWS online.** |

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| **Training****All schools who wish to make Top Up applications must attend relevant training.****Each academic year there will be opportunities for training. This is advertised through the TWS training portal.**  |

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| **Section 2a** | **Guidance for School Applications** |

**As stated in Section 1 of this Guidance all schools/settings receive funding for all pupils under the National Funding Formula, which came into effect on 01/04/2013. As part of the Code of Practice 2014, schools/settings have a statutory requirement to use their school based funding (Element 1 AWPU, Element 2 notional SEN- total £10,000) to ensure appropriate SEN support has been made. If a school considers that a pupil’s needs cannot be met by provision from existing school based funding, then they may apply to the LA for Top Up funding (Element 3 High Needs Block funding - HNB). Top up funding is a contribution towards the total costs of funding for a pupil.**

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| All applications **MUST**…* For young people with existing EHC plans applications must include the latest Annual Review paperwork, available from the Toolkit on Findability including relevant attachments (must be less than 12 months old).You **do not** need to hold another annual review specifically for Top Up and include a copy of the pupil **final** **EHCP/Statement**
* for young people on SEND support include the latest review, we recommend you use the annual review paperwork
* include pupil and parent/carer voice (adjustments may need to be made to the format of how this information is gathered in and demonstrate response to pupils’ and families’ individual needs)
* demonstrate an evaluated graduated response to meeting pupil needs
* demonstrate a plan do review approach
* have the Application for NFF Top Up funding **as the front cover**. This is an update/summary of the pupil, the pupil’s needs, the provisions needed to meet those needs, the expected outcomes and progress to date. The Top Up Panel has limited time to read all the application paperwork so a detailed summary on the front cover and a clear and concise Individual SEND Support Plan (individual provision map) will ensure that Panel have the information they need to make a decision. The full Annual Review can be referred to if panel needs clarification of any information given in the summary.
* the Top Up application front cover also includes a reference checklist of documents that must be included within the application
* include the pupil’s individual costed SEN Support Plan (Individual Provision Map) which must detail provision which **exceeds a total £10,000 spend** and demonstrate **individual needs in line with the BUDs at the band requested**.
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**NB**. 3 copies of each individual application for NFF Top Up funding will be brought to Top Up panel (but only 1 copy of full Annual Review) by the person(s) participating as decision maker(s). Each copy should be suitably bound together to ensure all paperwork remains in order whilst allowing easy reference by panel members… ***treasury tags work really well for this***.

Where there is no EHCP/Statement an **Individual SEND Support Plan (Individual Provision Map) should be submitted with evidence of review over time, to demonstrate the above**. An individual’s provision may be implemented by a range of staff (including outside agencies) with differing costs implications.

**Individual SEND Support Plans (Individual Provision Maps)** may be presented within the application in different format i.e. using excel/word. This is acceptable if the following information is clearly evidenced to support panel members’ decision making:

* Provision in place to meet needs ( this may be defined by a statement or EHCP)
* expected impact/outcomes
* how the provision is meeting **each** need e.g. particular literacy/numeracy/language/social programme, specific strategies or approaches. Detail ... It is not enough to say ‘in class support’/ ‘1:1 support’
* how progress towards expected outcomes is being evaluated (including any diagnostic assessment detailed)
* a clear indication as to which provision is as part of a group and which provision is individual (costed proportionally)
* a review of progress- the positive difference made to a pupil as a result of the provision
* a clear indication of progress to date.

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| Applications **MAY** include**… (**but these are not essential**)*** Highlighted BUDs detailing the level of need in line with the band you are requesting, on a separate sheet.
* an evaluated IEP (if this is still a key planning document in your school)
* a personalised timetable
* a pen portrait/one page pupil profile
* a pupil passport
* an evaluated inclusion plan
* an intervention lead summary report with pupil progress work sample extracts
* an evaluated PEP if appropriate
* a ***summary*** of ABC/serious incident records indicating impact of any provision in place.
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| Applications **DO NOT** need…* A covering letter from head teacher/senior leadership team
* multiple copies of monitoring & evaluation of targets
* multiple copies of pupils work
* numerous pages of ABC/serious incident records. The important information to be evidenced in any application is the provision to meet need and its impact which should be summarised on the front cover
* out of date information/reports (older than 12 months)
* an Annual Review held specifically for Top-Up application(e.g. if AR is 9 months prior to TU be sure to provide up to date summary within the front cover).
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If you make a re-application prior to the end date of existing Top Up funding i.e. to request a higher band, please note that the decision reached at panel may not agree with your requested banding but also may not agree with existing banding, a lower band than the existing band may be allocated.

If you have held an Annual Review where an outcome is to request Statutory Assessment/EHC needs assessment you **SHOULD NOT WAIT** until the next Top Up panel to submit this request. Submit any application for EHC needs assessment by indicating this request on the relevant Annual Review paperwork and immediately forward a copy to SEN Team following the Annual Review meeting. This request is in addition to any paperwork for Top Up; requesting HNB funding. All submissions must be made using the same Annual Review paperwork.

Please note that before any application for Statutory Assessment/EHC needs assessment is made, it is expected that a Top Up application has been submitted. Please **DO NOT** request an application for Statutory Assessment/EHC needs assessment at the same time as a Top Up application. **These are two separate processes.**

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| **Top Tips:*** **Please try to ensure each application is reader friendly e.g. pages numbered, documents clearly cross-referenced, clearly sectioned and as concise as possible**
* **use treasury tags to hold pages together. This ensures papers remain in the correct order whilst allowing easy access to them**
* **consider using BOLD, underline and larger fonts to highlight key information.**

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**Costed Provision Map**

**As highlighted throughout this document, Top Up funding is a contribution towards the costs of supporting a pupil.**

**It is essential that your provision map details the actual costs incurred in supporting the pupil. You are incurring these actual costs to support individuals. Please get these details from your bursar or business manager.**

**The finance team who will be working alongside panel during the day will calculate the LA contribution.**

It is important to remember that the costings less the deductions (illustrated below) are the value of the Top Up contribution allocated to the school. This figure must sit within the banding levels.

**Mainstream (primary & secondary).**

* Deduct £4,000 core funding from the costed provision map **and**
* deduct £6,000 place funding from the costed provision map.

**Special/PRUs**

* Deduct £10,000 place funding from the costed provision map

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| **Section 2b** | **Guidance for Special School, Resource Base and PRU Applications** |

The guidance is generally the same as for mainstream schools with the differences noted below:

* The LA is going to trial accepting TU applications from Special Schools following the completion of usual annual review. As minimum bandings have already been agreed with special schools and resource bases, it is not anticipated that the numbers of requests will be high.
* Special schools and resource bases are requested to send an email to their link SEN Team Area Inclusion Manager informing him/ her that a review has been sent to SEN that requires a TU decision.
* TU applications received following the process of annual review will be considered on a case-by-case basis. Special schools are requested to please ‘spread out’ annual reviews in order to facilitate the prompt processing of individual requests.
* Decisions will be made by the SEN Inclusion Manager in conjunction with the Special Schools’ School Improvement Officer and an Educational Psychologist. These panels will be a monthly meeting during the trial period up to July 2017.
* Any increases in banding will require a new application, following the same procedures as mainstream school guidance in section 2a.

**Pupil Referral Units (PRUs), DfE Registered AP Free Schools and ALP Independent Schools are subject to separate arrangements for Top Up. Please contact Chris Davies at the ALP Team for further advice.**

**Recent developments affecting Top Up**

* *The decision was reached by the Inclusion reference group to keep and amend the banding system and BUDS , and pay at the actual costs.*
* *The inclusion reference group has been established and a group will focus on Top Up.*

**There will be 2 panels this academic year the first panel was completed in November and the 2nd panel will be held over Monday 22nd (South), Tuesday 23rd (Central and East) and Wednesday 24th (North) of May 2017. The deadline for applicant’s names is Friday 28th of April 2017.**

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| **Section 3** | **Guidance for Panel Participation and Decision Making** |

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| **Practical Arrangements****The panels will be held in the conference room at Park View. (This may be subject to change).*** A SENCo or other senior staff member **must** attend a panel as a decision maker if they are making an application and bring copies of each application to their locality panel. In exceptional circumstances if attendance is not possible within locality please make arrangements to bring application paperwork/attend an alternative panel when completing the notification sheet 1 month prior to panel.
* Arrival for a 9:30 am start, with a proposed finish time of 4.00pm.
* Bring copies of each Top Up Applications (details of which will have been provided by the notified deadline date). At the end of the Top Up panel you will take back 2 copies of each application for your own school records, the copy with the full Annual Review will be held by SEN team.
* Please bring with you any refreshments you may need during the day.
* There will be a 45 minute lunch break but no lunch provided; please make your own arrangements for lunch.
* If you have any specific requirements please do bring what you feel you need.
* The day will require significant amounts of reading, please take comfort breaks when you need them.
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| On arrival, you will sign in and be allocated to a panel table. You will be in a panel of three where there will be at least one experienced panel member. Top Up decision makers include LA service representatives and school/setting SEN representatives. Each panel of 3 selects a chair (most experienced person) who will complete the relevant decision making paperwork on behalf of the panel. Each panel will be asked to complete approximately 10 cases throughout the day. When you have made decisions on these cases each panel will then be asked to moderate applications, so that each application will have been looked at by 2 separate panels of 3 people. Some panels have very complex cases and they will take longer, we ask that everyone be prepared to take additional cases within the day if requested.On the tables for each panel there will be a Top Up key messages document. You do not need to bring this guidance with you if you are attending a panel. Pens, paper and sticky labels will be provided, as well as a limited number of calculators. Each panel will be provided with a copy of the BUDs although you may wish to bring your own copy if it contains personal supportive notes within it.Penny Harris from SEN team will be available on each day to support the smooth running of the panel day. Inclusion Managers/SEN Team representatives/TWS Inclusion Team representatives and other professionals are also panel decision makers alongside school staff. |

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| **Confidentiality & Conduct**Please remember that all applications are confidential. You will be asked to sign a confidentiality agreement before you start looking at applications. No aspects of any application should be discussed other than during your decision making process at the table, within your panel of three. Remember you will be considering applications from within your own geographical area where school staff who have prepared and submitted an application may be within the room /nearby. At all times panel members need to ensure that any dialogue around individual schools/settings/children remains professional.No panel member should approach an individual within the room, or at any time to offer personal feedback.Discussions in general terms between schools/settings and LA representatives are of course useful and will help us to learn from each Top Up panel, both in terms of individual cases and organisation but please be mindful that such discussions should be contained within these boundaries.**If you are a panel chair, completing and signing the decision making paperwork, your identity will remain confidential in the subsequent feedback to schools/settings. Decisions made at Top Up are on behalf of the Local Authority as a whole; LA representatives and schools in partnership.** |

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| **Decision Making**As previously stated you will be expected to consider approximately 10 applications within your panel of three. It is impossible to give a specific amount of time to be allocated to each application as they vary in complexity. However, it is important that the panel reach a consensus before the chair completes and signs the paperwork on panel’s behalf. If the decision your panel has reached was not a consensus, you can alert the moderating panel to this using a sticky label. Each application will be moderated by a second panel of 3 people. The moderating panels will simply work through cases as they are allocated by panel organisersWhere there is a difference of opinion between the initial panel of three and the moderating panel, these applications will be moderated a second time by an LA representative.Each panel chair will record decisions on colour coded decision sheets. The chair is responsible for collating the collective oral feedback statements from the panel and ticking the appropriate statements on the decision making sheets. Each panel will allocate a band for 3 years or 1 year. If awarding for 1 year the colour coded decision sheets have feedback statements that indicate **SPECIFIC** reasons for this decision.**GREEN** = application and band requested agreed **AMBER/YELLOW** = application for funding agreed but not at band requested**PINK** = application declinedPlease take time to familiarise yourself with the decision making sheets prior to attending Top Up as this will support you in making difficult decisions.Detailed feedback is very important especially where the decision is a **NO**. Where the panel wish to allocate a different lower banding than is requested the feedback must be clearly shown using the appropriate decision sheet. Where panel is considering a re-application prior to the end date of existing Top Up funding e.g. a request for a higher band, panel may wish to make an alternative decision and not necessarily revert to the original banding level allocated by previous panel, or give band requested. In essence a re-application is a new application.**Reaching a Decision**Please refer to ***Top Up: Questions to Support Decision Making sheet*** which will be available on your tables at the beginning of the panel. |

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| **Particular Considerations*** **Declaring Professional Interest**

If you are considering an application where you have been personally involved and may have provided paperwork to support the application, please declare this to panel organisers who will assign your panel of three a different application.* **Children in Care/Special Guardianship**

If Pupil is a CiC who has had a number of school changes, it may not have been possible for school to submit all normally required information, and panel should take this into consideration when making decisions.* **Pupil/Parental Participation**

Please check carefully that pupils/parents have made a contribution and/or attended the review meeting, and that their views are represented. If there is no evidence of pupil/parental involvement, there should be documentation which indicates how school have endeavoured to involve them. * **Recent Support Service/outside agency involvement**

Please note that this may take a number of forms:* consultation with staff and parent
* direct involvement
* training for staff
* support evaluating provision
* participation in the Annual Review process.

Records of this involvement will not necessarily be a formal report, but should be a contribution indicating whether any recommendations have been:* implemented
* evaluated over time and change/modification addressed, if required.

This process of implementation and evaluation may be evidenced in a **specialist context**  from **within existing senior leadership/staff member with specialist expertise.** Details of this should be evident within the application, including the Individual SEN Support Plan. It is essential to demonstrate evidence of the process of agreeing provision/strategies, reviewing provision/strategies and making amendments to secure pupil progress.* **Commissioned Services (including Trading with Schools/Settings)**

As a panel member you may see an application where a school has commissioned and costed for additional support from an outside agency/independent provider to meet individual need. This should be clearly detailed on the Individual SEN Support Plan (Individual Provision Map) and evidence provided of the impact/benefit/difference it is making for the pupil. As a panel member you may see an application where a school wishes to commission additional provision for an individual in the near future. It is expected that full details with clear costs are provided. These costs can be taken into consideration as part of the overall provision to meet need.If core services have been engaged this should be at zero cost on the individual provision map.* **Special Schools/Settings**

Pupils attending a special school/specialist setting receive £10,000 as their place value (Element 1) school based funding. There are a few additional descriptors detailing what is expected to be provided from this Element 1 (core budget) for Bristol pupils within special schools/settings/specialist settings. * **Pupil Referral Units (PRUs)**

Pupil Referral Units receive £10,000 as their place value (Element 1) school based funding. Some pupils will enter a PRU with existing HNB funding which will remain in place. If a pupil enters a PRU without existing HNB funding they will automatically be allocated Band 3 funding via a Pupil Placement Panel for 12 weeks - these applications will not be viewed at Top Up panel.PRUs sometimes receive monies from mainstream schools/settings for provision to meet individual need where the pupil is still on roll at the mainstream setting but attending a PRU. The school may then make an application to Top Up in conjunction with the PRU. There is an expectation that the front cover Application for NFF Top Up funding is clear, detailed, and up to date but it may be that the relevant evidence base to support making decisions for an application from a PRU **may only** include some of the following:* a full Annual Review from previous setting/school
* multi-disciplinary meeting minutes
* a Pastoral Support Plan
* information from outside agencies
* home tuition report
* alternative provision report documentation.
* **Early Years Premium/Pupil Premium/Catch Up Premium**

Schools may now be in receipt of additional funding in the form of early years, pupil and/or catch up premium. **Pupil Premium**Primary School pupils (starting from Reception Year) eligible for **pupil premium** funding include those who are:* eligible for free school meals (FSM), or have been eligible for FSM at any time during the last six years (known as Ever 6);
* looked after children (LAC): funding for these children begins as soon as they enter the care system;
* children who are adopted from care or who leave care under a special guardianship order
* children of parents serving in the armed forces.

**Primary pupils**: £1,320**Secondary students**: £935**LAC (all schools**): £1,900 (this figure also applies to children who have left care through adoption or other circumstances –see above)**Service children**: £300**Early Years Pupil Premium**Early years settings will now receive **£300** for each pupil eligible for the new **EY pupil premium**. Children are eligible if their parents are in receipt of any of the following:* Income Support
* Income-based Jobseeker’s Allowance
* Income-related Employment and Support Allowance
* Support from the National Asylum Support Service (NASS)
* The guaranteed element of State Pension Credit
* Child tax Credit (with no Working Tax Credit)
* Working Tax Credit run-on (paid for 4 weeks after parents stop qualifying for Working Tax Credit)
* Universal Credit

Children are also eligible if they have been looked after by the local authority for at least one day; have been adopted from care or are subject to a special guardianship or child arrangement order.**Catch Up Premium**Schools may receive catch up premium of **£500** for each Y7 pupil who did not reach the expected standard at Key Stage 2. This is in addition to any Pupil Premium funding.NB. Any of these sums of money are **additional** to the sums of money available through element 1 and 2 school based funding and best practice would clearly reference this within the Individual Support Plan (Individual Provision Map) for a Top Up application to show a co-ordinated and comprehensive package of provision |

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| **Post Top Up** The aim is to email all decisions out to individual schools/settings by 4pm on the Friday 10th of June. This is to allow sufficient time to process all the paperwork so that all schools/settings are notified at the same time.Special schools and resource bases will be notified as soon as possible and processes will be reviewed following the trial period. Following Top Up schools/settings are asked not to telephone SEN Team/Inclusion Service for decisions. Until all decisions have been moderated, recorded and decision sheets scanned ready for emailing, it is not possible to give individual schools/settings responses before the agreed date.We would politely ask school and LA representatives to respect this with reference to any applications. |