

Guidance for completing the high needs cost form (V10) for claims over £6,000 in 2018/19

High needs (element 3) funding for Post 16 providers

Introduction

This guidance is applicable to all post 16 further education and training settings where high needs funding (element 3) is requested.

Definition of high needs

For funding purposes at Stockport Council, a high needs student is defined as a young person aged 16-25¹ who requires additional support costing over £6,000 to participate in education and training who is subject to an Education Health and Care (EHC) Plan. If a student over 19 does not have an EHC plan, any high needs support funding is the responsibility of the Education and Skills Funding Agency (ESFA).

Additional learning support is provided:

- To ensure that students have every chance to successfully complete their course.
- That a learning difficulty, disability or impairment does not prevent any student from having as equal a chance as their peers to be successful on their chosen course.
- To ensure that students achieve the maximum possible level of independence and activity in their communities and in employment.
- To maximise independent living and learning skills
- To prepare young people for adulthood; leaving college, higher level course, university or employment.
- To promote interaction and friendships with peers.

Local authorities have a role in ensuring that learning support for individuals is targeted on their needs and most importantly, in the context of their long term goals and aspirations in preparing for adulthood.

What does funding for high needs students consist of?

Funding for high needs students consists of both place funding (Elements 1 and 2) and top-up funding (Element 3).

Element 1 of the funding formula includes funding for disadvantage; this is split into two blocks:

Block 1	Block 2
<ul style="list-style-type: none">• Economic deprivation funding <p>Includes additional funds to recognise the additional costs associated with engaging, recruiting and retaining young people from disadvantaged backgrounds.</p>	<ul style="list-style-type: none">• Support needs for progression <p>This supports all students without maths and English at grade C or above to achieve and progress in their Study Programme, including those with low level additional learning support needs.</p>

¹ Until the end of the academic year in which the young person turns 25.

Young people in or having recently left care will generate a flat rate payment for the institution.	<u>This replaces all previous forms of low cost ALS.</u>
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Allocations for element 1 are based on the number of full time students who have not yet attained a GCSE grade C in English or mathematics or who are in care or have recently left care, the funding rate is £480. Therefore a student with English at Grade C but not mathematics, or vice versa, would attract an uplift of £480. A student with neither qualification at Grade C would attract £960. A student in care with neither qualification at Grade C would attract £1,440. These sums are not ring-fenced for use on these students.

Element 2 is the second component of “place funding” and provides the first £6,000 of funding to meet the additional support costs for high needs students. This element of place funding is not intended for meeting the needs of students who require a lower level support costing less than £6,000. Institutions do not receive Elements 2 and 3 for these students and local authorities do not commission places or provide specific additional funding. **Element 2 places are not reserved for a specific student or local authority.**

Stockport Council will only consider requests for high needs funding (element 3) where it is evidenced that an individual student is a learning programme which is agreed as appropriate and commissioned by the local authority. Requests for funding must be able to demonstrate that support required for learning is over and above that which is normally provided.

For example, if support needs for a high needs learner, were costed at £21,000:

Element 1 – £5,000 Mainstream funding, programme cost – paid by ESFA

Element 2 – £6,000 Additional support for High Needs students– paid by ESFA

Element 3 – £10, 000 Top-Up - To be agreed with LA – paid by LA

Total HNS – £21,000

How to calculate requests for high needs funding

High needs support costs should:

- be calculated net of any specific income received from other sources;
- exclude the costs of staff training;
- exclude support costs associated with students enrolled at school and following link programmes with an Institution;
- include any direct payment funding the college has agreed to release to a LA for the purposes of a direct payment for a student;
- exclude activities that would more usually be classified as student financial assistance.

Recording costs and compliance evidence of high needs support

- Additional teaching costs should be based on staff salaries plus on-costs and contracted hours. Costs for support staff could be calculated in the same way as costs for additional teaching. Costs for covering teaching and learning support staff who take leave during term time and universal costs, e.g., for preparation, marking, observations, training and supervision, should be covered in Element 1 funding in the main, unless they are specific to an individual. In exceptional cases, providers should identify any additional teaching costs through the high needs cost form.
- Staff teaching for a proportion of their time at the Institution should ensure that only the proportion of their salary related to teaching is included in any calculation of hourly rate.

- The costs should relate to direct learning support for individual learners. The costs of a learning-support co-ordinator may be included where the member of staff concerned is providing direct support to an individual learner above a level which might reasonably be expected as part of the provider's basic offer available to all learners. A provider who works solely with learners with additional needs should still have a basic offer in relation to this group of learners. Generally we would expect specialist providers to have a general timetable and tailor support for students to access the curriculum around individual needs.
- Where learners are on a discrete programme, the additional costs of teaching smaller groups of learners can be included on the form. Before claiming any additional costs, providers should reassure themselves that there is a clear rationale for restricting the size of the group, based on the needs and characteristics of the learners.
- Where additional support is given off-site as part of a business decision (for example, care homes) the small class size calculation should take account of the learner needs, and the level of learners available to be taught. As there may only be three learners on site, the reduced class size may not be appropriate, as it is the college's decision to provide the education. Reduced class sizes will need to be justified by the provider before any additional-support request is made for extra costs associated with small class size(s).
- Providers should calculate the additional costs by subtracting the average teaching cost for each learner on a standard programme from the teaching cost for each learner on a discrete learning aim. The costs of any other additional learning support provided within a discrete programme should also be included in the costing.
- The additional cost of a small or discrete group of learners with learning difficulties should be calculated by subtracting the average teaching cost per learner on a standard programme from the cost per learner on a discrete programme.

Activities which are eligible for high needs funding (Element 2 & 3)

The types of additional high needs support costs provided for students may include the following:

- **Additional teaching**, either to reduce class sizes or to provide support in or out of the classroom.
- **Other specialist staffing** considered the most appropriate to support the student in their learning programme. This may include a personal care assistant; mobility assistant; communication support worker; in-class support assistant; employment coach or specialist tutor – this list is not exclusive and we would expect Institutions to consider the most appropriate and cost effective method of delivery.
- **Funding for therapeutic input were an identified need has been assessed** such as that from a speech therapist, physiotherapist or occupational therapist will only be considered where such support is identified in a learning agreement as essential to enable a student to achieve their learning aims. Where this is identified as essential during timetabled sessions, it is expected that advice from health professionals is embedded into the student's programme. The provision of such therapeutic support should follow an assessment by an appropriately qualified person who is impartial to the Institution. We would expect Institutions to work closely with other agencies to facilitate arrangements where necessary.

- **Where therapeutic input is not identified** in a learning agreement as essential to enable a student to achieve their learning aims, and does not meet the definition of High Needs, funding should be sought from the relevant Health Authority by the young person/family/carers. The LA will need to seek funding from the relevant health authority under the requirement to jointly commission. Health will be required to contribute funding if they state in an EHCP that an individual has specific medical needs. Colleges should still carry out an assessment of need as the LDA/EHCP has a historical record of previous support but it cannot be assumed that the same levels of support and funding will be required post 16 – it could be more or less dependent upon the individual. Please note that it is not unusual for Health to require that an individual qualifies for Continuing Health Care before agreeing to provide such support.
- **Funding for counselling**, in the form of pastoral support, can be considered where such support is over and above that ordinarily available to students and unable to be provided outside of the student's timetable, to enable a student to achieve their learning goals.
- **Essential transport** between sites and to other off-site activities for students with mobility difficulties, but not home-to Institution transport. Where appropriate, we would expect students to be supported to develop further independence around travel as part of their learning programme.
- **Administration linked directly to individual students** that is in excess of usual requirements, for example, time spent negotiating or delivering special examination facilities or material adaptation.
- **The use of alternative technology** now available on the market replaces the need for some of the above expenditure and for which any capital costs can be claimed through the advice below on depreciation and costs. For example, Ofsted and other agencies have commented that many learners would prefer to use a piece of equipment that allows them to read/hear it for themselves rather than rely on a support worker reading things to them. The prices of such equipment now available on the market often support this as a more cost effective approach which also has the potential to increase pupil independence and promote social inclusion. The requirement for Institutions to ensure the reasonable provision of auxiliary aids is set out in the Equality Act 2010.
- **The costs of any assessments** required to identify equipment needs can be included in the costing of initial assessment. Maintenance of equipment, and training for the learner in the use of the equipment, can also be included. Where a learner needs to have their learning materials adapted, the cost of preparation can be included in the form. This may involve tutor, administrator or support-staff costs.
- **The cost of providing exceptional support** during the assessment of achievement should be included. This might include, for example, the complex arrangements required for hi-tech communication aid users during examination or those with complex recording needs.

High needs funding does not cover the following:

- The cost of equipment which could reasonably be expected to be provided as part of the base funding (element 1).
- The cost of learning support and intervention and statutory reviews for learners which could reasonably be expected to be provided as part of the college's basic offer.

- The cost of adaptations to the building required as a result of the learner's enrolment. Colleges should have capital improvement plans in place in anticipation of the need to make adjustments to buildings and to comply with the Disability and Discrimination Act.
- Support costs associated with learners enrolled at school or academy and following link programmes with an FE provider.
- Additional hours added to a qualification cannot be reflected in additional-support costs. These should be reflected in the guided learning hour (glh) record for unlisted qualifications.
- Additional-support costs should not be recorded where a learner requires support in the subject area of their qualification; for example, additional support should not be recorded for a learner studying GCSE maths and receiving extra support in maths.
- Overhead costs such as central services or premises as these are already met from the base unit of resource in recurrent funding.

This list is a guide and is subject to some negotiation and cooperation between colleges/providers and the LA.

Equipment costs and depreciation

The decision to fund any equipment from the High Needs budget will be considered on a case by case basis and the ownership of such equipment will be determined locally.

While actual equipment costs cannot be recorded through the high needs support process, a depreciation charge for the equipment may be included. It should be calculated by dividing the actual cost of the equipment by the estimated number of years of its useful life (generally over 3 years). Only the appropriate element of depreciation for equipment used by the student for the time it was used is eligible for additional high needs funding.

Depreciation costs must be claimed in line with the Institution's depreciation policy and should be calculated by an Institution's finance department, as it must be shown in the Institution's accounts. The same procedure applies to equipment that is leased rather than purchased.

If the lease costs are a revenue charge (for example, for an operating lease), the proportionate cost of the lease charge is also eligible for high needs support funding. Where a finance lease is used, the depreciation charge is calculated with reference to the capitalised value divided by the term of the lease or useful economic life. This should be calculated by an Institution's finance department, and must be shown in an Institution's accounts.

Local authorities will expect to see a clear justification to support any requests for equipment to be funded through high needs. As per the Equality Act 2010, institutions are expected to make reasonable adjustments so as not to avoid the substantial disadvantage experienced by disabled students. Where funding is agreed as appropriate to fund such equipment, the local authority reserves the right to see that equipment move on with the learner, where appropriate.

Personal Budget

A young person or parent has a right to request a personal budget when the local authority has completed an EHC needs assessment and confirmed that it will prepare an EHC plan. Personal budgets should be focused to secure the provision agreed in the EHC plan and should be designed to secure the outcomes specified within the plan.

Funding for a personal budget relating to education comes from the high needs funding pot, however, schools and colleges are encouraged to personalise the support they provide and they can choose to contribute their own funding to a personal budget.

A personal budget can include funding from education, health and social care; however the scope of that budget will vary depending on the needs of the individual, the eligibility criteria for the different components and the mechanism for delivery.

The Application Process for applying for high needs funding

High needs cost form (VI0)

For each individual student who requires support over the £6,000 threshold, providers are required to complete in full the High Needs cost form (over £6,000), which, together with learning objectives, provides a breakdown of high needs support costs required over and above that which is generally provided as part of the standard offer from the Institution.

The High Needs cost form must be completed at the pre-entry or entry stages of the learning programme, and must reflect, as accurately as possible, the anticipated additional high needs support costs to be incurred during that academic year.

Providers should review this form on a termly basis to ensure it reflects actual costs and must also retain evidence of actual spend, including invoices from third parties as part of their funding agreement.

The objectives and learning outcomes should be reviewed on a regular basis so that the young person's progress towards long term goals and aspirations is clear and where a young person is continuing in education, the high needs form should set out targets for the forthcoming academic year, in line with long term goals and aspirations.

The high needs costs form should be retained by Institutions as auditable evidence. Care should be taken to ensure that planned expenditure does not make disproportionate use of public funds. The Institution should also be able to make available to its auditors sufficient evidence to show that the high need costs recorded were made available to the student.

The High Needs Panel

When considering applications for element 3 funding, the high needs panel's remit is to ensure efficient use of resources.

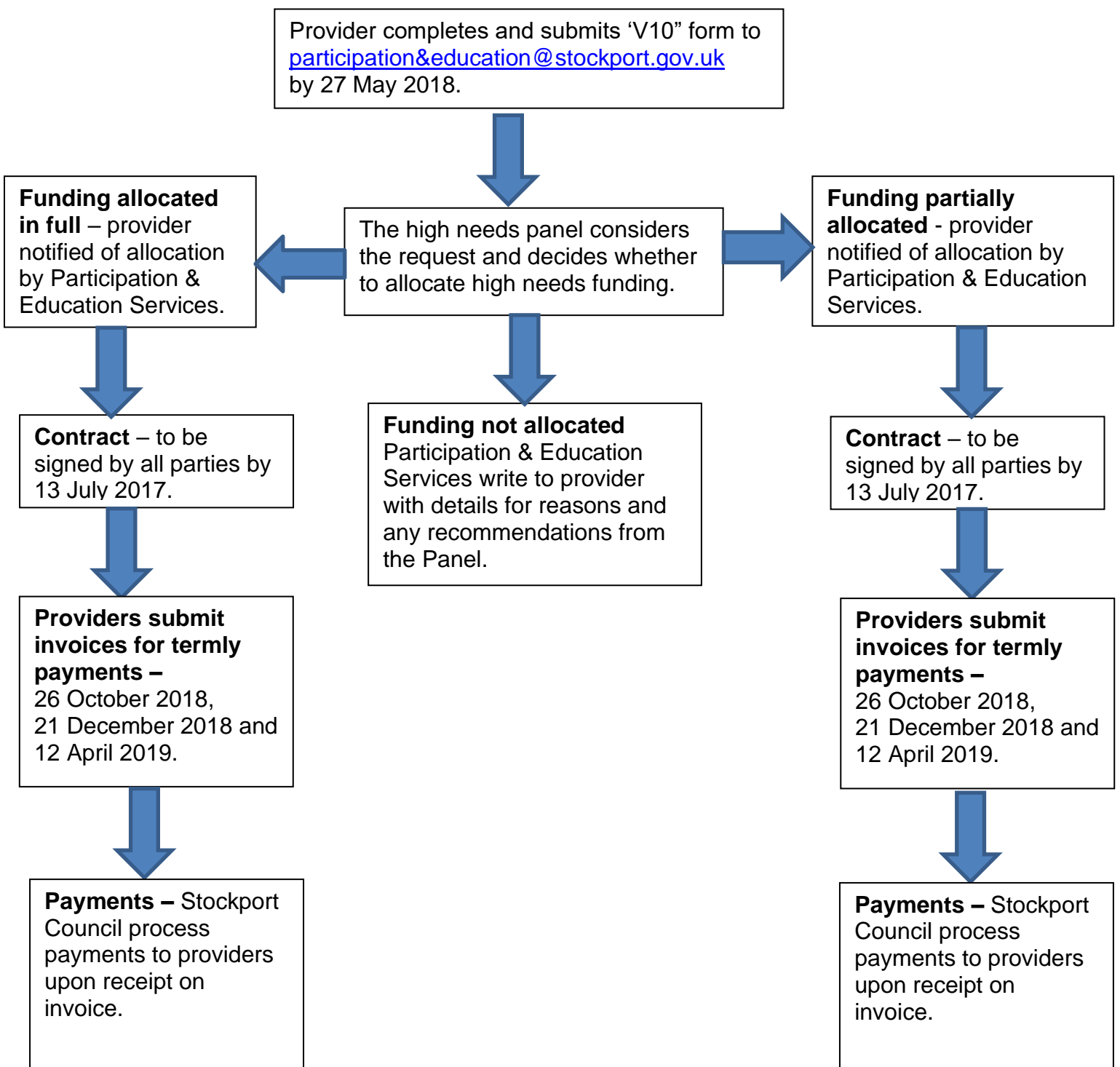
The panel will therefore need to be satisfied that the criteria below have been met.

- 1) The provider making the application represents the most efficient use of resources.
- 2) The hours of support for education, care and health identified by the provider are
 - a. appropriate to need and
 - b. commensurate with the corresponding level of support specified in the EHC plan.
- 3) The level of spend requested is appropriate to the level of support.
- 4) For students continuing into a further year of study, sufficient progress against the identified outcomes is evidenced.

The local authority can refuse to fund an application if the following criteria is applicable:

- The provision would be unsuitable for the age, ability, aptitude or SEN of the child or young person, or
- the attendance of the child or young person there would be incompatible with the efficient education of others, or the efficient use of resources.

Timeline for 2018/19



High needs claim form 2018/19 (V10)

Please refer to the high needs support guidance for information on how this form should be completed.

Part 1: Student details

Institution Name and home LA: <i>(please print)</i> :		Institution UPIN:	UKPRN:
Name of Student:	Post code:	Student's home LA:	
Name of previous placement:			
Highest achievement to date:			
Student reference Number (or Unique Student Number ²):		Date of birth:	
		Age at 31 st August ³ :	
Please describe the nature of the student's disability or difficulty in relation to:			
Communication & interaction	Cognition & learning	Social emotional & mental health	Sensory and/or physical
Programme Title and Level / Learning Aim Reference:			
New learner	<input type="checkbox"/>	Continuing learner	<input type="checkbox"/>
No. of previous years attended:			
No of days per week on programme:	No of hrs per week on programme ⁴ :		No of weeks per year on programme:
Programme start date	Start date of support	Programme end date	Support end date
Are there any other institutions and/or agencies who are involved in supporting the young person in achieving their goals? If so please state the details and number of days attendance:			

² Mandatory in the school census from 2014

³ In the academic year in which the young person will be starting the programme. Support for learners over 25 at this point must be requested from the Education & Skills Funding Agency.

⁴ The number of programme hours will be based on the needs of the student and what will be required to achieve their outcomes.

Has the Student previously had any of the following? Yes* No*

Institutions must refer to the appropriate assessment to inform support planning for the learner.

* Please indicate below:

Statement of Special Educational Needs (SEN)

Learning Difficulty Assessment (LDA)

Education, Health & Care Plan (EHC)

Date of SEN:

Date of assessment:

Date of plan:

* Please provide details of documentation/information shared with the institution which supports the need for high needs support.

Name and position of person undertaking the assessment for support:

Contact number:

Part 2: Student objectives and provision to meet needs identified and costings

Student long term goals and aspirations:

Objectives related to	Provision to meet objectives	Expected outcome (at the end of the year)	Local Offer support ⁵	Additional Support required ⁶
Education & Learning ⁷ •				
Preparation for work skills •				
Communication and interaction •				
Social emotional and mental health •				
Skills for Independent Living •				

⁵ This should describe what is available as part of the standard offer from the Institution by way of support, facilities and equipment; over and above the core programme costs of that course.

⁶ To include ratios and equivalent 1:1 support, specialist teaching, facilities etc which are **not** included as part of the standard offer from the Institution; must be relevant to the individual's needs. **Further details must be provided at part 3.**

⁷ This must include information about achievement levels and targets to allow for the achievements / attainment level to be discussed at annual review.

Other				
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£ 6000

£



Part 3: Breakdown of costs

Please ensure that costs below correlate with the narrative in part 2 of the form.

Please summarise within each category below how different types of specialist staff are supporting the young person.	Local Offer (Included in E2 - £6000) ⁸			Additional Support (E3)		
	Hours per week	Cost per hour	Cost per year	Hours per week	Cost per hour	Cost per year
○ Teaching, in-class or on-programme support						
○ Support for personal care or independence activities						
○ Other types of support (please specify)						
Equipment required to support the individual to achieve: Is this part of the local offer? Yes <input type="checkbox"/> No * <input type="checkbox"/>						
* Requests for depreciation costs must include details of the equipment and evidence of need.						
Direct Payments or contributions from agencies or individuals (please specify)						

Total

E3 Cost

⁸ This section is to be completed as per local authority requirements.



Total Element 3 High Needs costs:

We understand that the Local Authority, Education & Skills Funding Agency (ESFA) may require additional evidence to support the above statement and the actual costs of delivery, and any inaccuracy in the statement may result in recovery of funding and civil and / or criminal proceedings. We understand and accept that the Local Authority, ESFA may share this information with other government bodies for the purposes of preventing and detecting fraud.

Signature:	Name (<i>please print</i>)
Position:	Date completed: