

**This document has been withdrawn as it is out of date.**

High needs place change notification 2019 to 2020

Technical note

October 2018

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# Purpose

1. This guide is primarily for local authorities and institutions. It sets out the process for local authorities notifying ESFA of institution level changes to 2019 to 2020 high needs place numbers, including hospital education places. It also sets out which institutions are in scope. It also explains how place funding is determined for institutions not within scope of this process. It should be read alongside the [high needs funding 2019 to 2020: operational guide](https://www.gov.uk/government/publications/high-needs-funding-arrangements-2019-to-2020).

# Place funding: principles

1. As in 2018 to 2019, places funded should broadly reflect both local authorities’ recent commissioning activity and strategic planning to secure suitable special educational needs and disabilities (SEND) provision and alternative provision (AP) in line with their statutory responsibilities. In determining the number of funded places, local authorities should consider all high needs providers in their area and must take account not only their own commissioning decisions but also the commissioning decisions of other local authorities. In the case of AP, local schools’ commissioning activity and plans should also be considered.
2. Collaborative relationships and early dialogue between local authorities and institutions play an important part in the preparations for academic year 2019 to 2020 and agreeing appropriate allocations of high needs place funding to institutions. Local authorities should consult with institutions in their area, and discuss both current numbers of places being taken up, and the number of places required in future. These discussions must include the total number of places required to meet the needs of all local authorities, not just those of the local authority in which the institution is located. Where there is clear evidence that local authorities have not submitted numbers that reflect the commissioning needs of all local authorities, the ESFA may make adjustments to the numbers that inform the deductions from local authority allocations. To ensure institutions receive the correct place funding direct from ESFA, local authorities should notify ESFA of changes to place numbers for ESFA funded institutions for the 2019 to 2020 academic year by 16 November 2018. Where an institution is admitting students with high needs from a number of different local authorities the provider local authority should first seek information from the institutions on:
	1. the number of places currently being commissioned from each local authority; these numbers should be consistent with the number of pupils or students with high needs reported by the institution on the school census or individualised learner record (ILR)
	2. how those numbers are expected to change in the following academic year
3. Significant changes relating to other commissioning local authorities may need to be confirmed by provider local authorities as they will impact on the deductions from the provider local authority’s high needs allocation (see paragraph 6 below). Equally, we would expect commissioning local authorities to proactively contact the provider local authority in such circumstances to ensure they are aware of the change that should be included in the provider authority’s place change notification. We are aware of particular issues that may arise when FE institutions in different areas merge into a single college and we would advise that the above approach is adopted in these circumstances.
4. Changes to 2019 to 2020 high needs place numbers will not change an authority’s allocation of high needs funding through the national funding formula. However, increases in place numbers will be funded from the authority’s allocation, reducing the amount of high needs funding the authority actually receives through its dedicated schools grant (DSG). Further information on the [funding implications of changes to place numbers](#_Funding_implications_of) is available later in this guide.
5. [Provisional allocations of the 2019 to 2020 high needs funding block](https://www.gov.uk/government/publications/national-funding-formula-tables-for-schools-and-high-needs-2019-to-2020) for each authority, calculated by the high needs national funding formula, were announced in July 2018. Further information on high needs funding arrangements are available in the [high needs funding 2019 to 2020: operational guide](https://www.gov.uk/government/publications/high-needs-funding-arrangements-2019-to-2020).

# Changes for 2019 to 2020

1. The principles of the place change notification process remain largely unchanged from 2018 to 2019, although local authorities and institutions should note small changes to how we will [resolve not agreed cases](#_‘Changes_to_current). The process for 2019 to 2020 will however, reflect the following changes.

## Changes to hospital education funding

1. As in previous years, local authorities can request changes to their hospital education funding where there has been a change to medical provision locally, or where such a change will occur during the next funding period. For 2019 to 2020, however, these changes should be requested through a separate process, not through the place change notification workbook. Further information is available in the [Hospital education funding: Guidance on local authority applications for changes in 2019 to 2020](https://www.gov.uk/government/publications/high-needs-funding-arrangements-2019-to-2020). However, any changes to the number of hospital education places in academies should also be notified to ESFA through this place change notification process. Similarly, any increase in the place value, for example to include the 1% increase in hospital education funding that the local authority will receive through the high needs national funding formula, should also be notified through this place change notification process, if it applies to an academy in receipt of hospital education place funding.

## Special free schools

1. From April 2019 high needs places at special free schools will be funded through the same process that has previously applied to special academies. Special free schools are therefore included in the 2019 to 2020 place change notification process. Funding for these places will be deducted from local authorities’ high needs allocations by ESFA, and paid directly to schools, as for special academies. Local authorities should therefore work closely with special free schools in the autumn to agree the number of places to be funded, and ensure that changes to place numbers are included in the place change notification. Further information on this change, including special arrangements for local authorities in which a special free school is located, has been [published alongside this guide](https://www.gov.uk/government/publications/high-needs-funding-arrangements-2019-to-2020).

## Local government reorganisation

1. Dorset, Poole and Bournemouth Councils will be reorganised to form two local authorities on 1 April 2019 (Dorset Council and Bournemouth Christchurch and Poole Council). The place change notification workbooks and local authority returns for the 2019 to 2020 academic year will reflect the new local authorities and institutions in those areas. Those local authorities should engage closely with all of their institutions and current authorities when discussing place numbers for institutions affected by the reorganisation.

## Scope of 2019 to 2020 place change notification process

1. The following institution types are funded from a local authority’s DSG, via ESFA, and are therefore within scope of the 2019 to 2020 place change notification process:
* Mainstream primary and secondary academies with special units, resourced provision or sixth forms
* mainstream free schools with special units, resourced provision or sixth forms
* studio schools (as above)
* university technical colleges (UTCs) (as above)
* special academies
* special free schools
* alternative provision (AP) academies
* further education (FE) institutions
* independent learning providers (ILPs)
1. In addition, this process should be used to notify ESFA of place numbers for:
* special post-16 institutions (SPIs) that meet the initial eligibility criteria for receiving place funding directly from the ESFA in 2019 to 2020, and which are not currently funded by ESFA in 2018 to 2019; they will normally be institutions that already receive funding from the commissioning local authority, but may include new institutions
* maintained primary and secondary schools with special units, resourced provision or sixth forms, maintained special schools and PRUs that convert to academy status on, or by, 1 January 2019
1. The following types of institution are not within scope of this process:
* maintained primary and secondary schools, maintained special schools and PRUs
* changes to pre-16 and post-16 place numbers in maintained institutions are funded directly by the maintaining local authority and ESFA doesn’t need to be informed of changes to place numbers at a maintained institution that is not converting to an academy on, or by, 1 January 2019
* if a local authority maintained school converts to an academy, current place numbers must be notified to the project lead well before conversion
* AP free schools - ESFA will contact AP free schools direct in early October 2018 for information to determine their place funding allocations for the 2019 to 2020 academic year
* non-maintained special schools (NMSS) and special post-16 institutions (SPIs)
1. NMSS and SPIs are funded directly by ESFA using school census and ILR data respectively, except for the SPIs seeking place funding from ESFA for the first time in 2019 to 2020. Aside from that exception, place change notification process is not used to fund NMSS and SPIs.
2. Although local authorities do not need to return place numbers for these institutions to the ESFA, they should consider the entirety of the high needs provision available across both mainstream and specialist institutions, how that provision is currently meeting the needs of children and young people, and what changes are necessary to meet their needs in future. This should be an important feature of local authorities’ strategic planning process.

# Timeline and actions

| **Month** | **ESFA** | **Local authorities**  | **Institutions** |
| --- | --- | --- | --- |
| July 2018 | 2019 to 2020 high needs allocations announced |  |  |
| September 2018 | High needs funding 2019 to 2020: Operational Guide published |  |  |
| 3 October 2018 | 2019 to 2020 high needs place change notification technical note published and workbook issued to local authoritiesJanuary 2018 school census and 2017 to 2018 ILR R10 data published2018 to 2019 high needs place allocations to institutions updated (as at 1 September 2018) | Engage in discussions with institutions about funded 2019 to 2020 place numbers | Engage with local authorities about the high needs places to be commissioned in 2019 to 2020, and liaise with your provider local authority to agree the total 2019 to 2020 funded places for your institution.  |
| 16 November 2018 |  | Deadline for local authority submission of 2019 to 2020 high needs place number changes to ESFADeadline for local authority requests to change hospital education funding |  |
| End November 2018 | Initial validation of returns complete. ESFA may request a resubmission.Publish update to January 2018 school census and 2017 to 2018 ILR R10 data file with 2017 to 2018 ILR R14 data | Local authorities to be ready to respond to any ESFA requests for template resubmissions. |  |
| Mid to late January 2019 | Outcomes of place change notification process published  | Check published outcomes are correct | Institutions within scope of the place change notification process to check published outcomes are correct |
| Early February 2019 |  | 2 week window closes for enquiries relating to the published outcomes | 2 week window closes for enquiries relating to the published outcomes |
| March 2019 | 2019 to 2020 high needs allocations issued to FE institutions, free schools, academies, NMSS, SPIs and ILPs |  | Check 2019 to 2020 allocations are correct, inclusive of high needs place numbers. ESFA may not change place numbers if not previously notified through the place change notification process |
| March 2019 | 2019 to 2020 DSG update, to reflect the outcome of the 2019 to 2020 place change notification process and high needs place deductions (DSG allocations updated termly for in-year academy conversions) |  |  |
| March 2019 | Publication of 2019 to 2020 high needs place numbers at institution level |  |  |

# Notifying ESFA of place changes

1. Local authorities must submit 2019 to 2020 place change notifications to ESFA by 16 November 2018. Submissions received after this date may not be considered.
2. A 2019 to 2020 place change notification by a local authority must:
* submit the completed 2019 to 2020 place change notification workbook via the [ESFA data collections portal](https://efadatacollections.education.gov.uk/lafr/SitePages/Home.aspx). The workbook can be downloaded from the ESFA data collections portal (username and password to access the ESFA data collections portal will be emailed to local authority designated users)
* meet the requirements set out in this technical guide
1. The 4 sections of the 2019 to 2020 place change notification workbook are listed in the table below.

| **Worksheet name** | **Content** |
| --- | --- |
| Cover | Local authorities to enter contact details. The primary contact will need to sign off the return, confirming that their template has been completed in line with this guidance and captures the number of places required by all local authorities. |
| 2018 to 2019 high needs data | Pre-populated with 2018 to 2019 high needs place numbers for institutions in the local authority area as at 1 September 2018 that are within scope. |
| Place Change Notification (PCN) | Local authorities may enter 2019 to 2020 place number changes for institutions within scope. Where numbers are not entered, AY 2019 to 2020 place numbers will remain unchanged from AY 2018 to 2019. See [below](#_Completion_of_the) for further information on completion. |
| Validation Sheet | Highlights to local authorities and ESFA, any required fields within the document that are incomplete. |

# Completion of the workbook

1. This section shows local authorities (LAs) how to navigate and complete the high needs workbook for submission via the [ESFA data collections portal](https://efadatacollections.education.gov.uk/lafr/SitePages/Home.aspx).
2. The high needs workbook can be downloaded from the [ESFA data collections portal](https://efadatacollections.education.gov.uk/lafr/SitePages/Home.aspx). ESFA have contacted local authority designated users with information on how to submit the workbook. If you’re not sure who the designated user is within your local authority, or want to submit the return for your authority please contact ESFA.
3. Local authorities must submit the workbook via the [ESFA data collections portal](https://efadatacollections.education.gov.uk/lafr/SitePages/Home.aspx) by 16 November 2018.

## Key rules for the successful completion of the workbook

* For each entry, start at column A and work along the row
* Ensure the change is correctly recorded as either ‘agreed’ or ‘not agreed’ with the institution
* Do not enter data into greyed out cells
* Only one entry is permitted per academy, college or other institution
* Where a change in the place number is required enter the total place numbers you require after any adjustment has been applied
* If no change is required leave the cell blank. If ‘0’ is entered into the 2019/20 revised place number columns, the final place numbers will be set at zero
* Ensure all validation markers show as ‘pass’ before submitting the workbook to the ESFA

## Cover sheet

1. Enter the contact details of the person who is responsible for completing the workbook. This information will be used by ESFA if there is a query regarding your submission.
2. Primary contact details must be entered for the workbook to be accepted, however you may wish to include additional contact details in the second and third columns.
3. ESFA also requires that the declaration on this worksheet is completed by the primary contact. If the declaration is not completed correctly the submission will be rejected and a resubmission requested.
4. To successfully complete the declaration ensure the following steps are completed:
* Check the tick box to confirm your agreement to the statement included within the declaration
* Insert an electronic signature or typed name into the section headed ‘signature or typed name’
* Enter the date of completion into the ‘date completed’ cell
1. The validation on this page will show as a ‘Fail’ where the primary contact details have not been entered and the declaration has not been completed correctly, specifically the statement is ticked and the signature entered.
2. Additional information is included in the cover sheet showing the sections of the workbook that form part of the data collection exercise. These are:
* 1819 HN Data
* Place Change Notification
* Validation sheet
1. There is a brief description of the areas covered and a hyperlink to the different sheets to help navigate around the workbook.

### 1819 HN Data Sheet

1. This sheet contains details of 2018 to 2019 high needs data, correct as of 1 September 2018, for those institution types that are in scope for changes from current high needs places. Refer to [scope of 2019 to 2020 place change notification process](#_Scope_of_2019) for a list of institutions that are in scope.
2. Filters have been applied to allow you to search the data but the worksheet is protected and you will be unable to change this data. Details from this sheet, of any institution you identify as requiring a change, will be replicated in the place change notification sheet.

## Place change notification (PCN) sheet

1. The PCN sheet should be used to notify ESFA of changes from 2018 to 2019 high needs places and place values for academies with hospital education funding.
2. Validation rules are built into the worksheet to ensure correctly formatted data is entered into the cells. In addition, the validation sheet will highlight instances where information is entered incorrectly, for example, data is entered into greyed cells or a UPIN appears more than once.
3. At the top of the sheet is the current validation status (see the section headed Validation Sheet for more details). This will show as ‘pass’ if the worksheet is completed correctly.
4. The workbook is split into two sections depending on the reason for change:
* In the first section, local authorities must enter those institutions with the reason for change identified as ‘new institution’ or ‘other’, and select the relevant option from the drop down list
* ‘Change from current high needs places’ should be entered in the second section. Entries here must relate to institutions in the 1819 HN data sheet
1. Two links have been added at the top of the PCN sheet that will help you to navigate between the different sections of the worksheet.
2. The workbook is designed so that the when the Reason for change, UPIN and/or institution type are entered, cells requiring completion will open and change from grey to white backgrounds. For each entry, start at column A and work along the row.
3. The process for completing the two sections of the sheet are set out below.

#### New / Other Change Notification

1. The first section of the workbook (rows 14 to 28) focuses on ‘new’ and ‘other’ reasons for change in the academic year 2019 to 2020. Refer to [scope of 2019 to 2020 place change notification process](#_Scope_of_2019) for a list of institutions that are in scope.
2. Use the *‘New / Other’* link at the top of the worksheet (row 4) to navigate to this section of the workbook.

| How do I decide which dropdown to use‘New’ should be selected where:* New or existing institutions that are in scope of this data collection exercise but were not funded for high needs places in 2018/19
* New SPIs to be funded for high needs places in 2019/20 (subject to due diligence process)
* Schools or pupil referral units that were local authority maintained at 1 September 2018, but will convert to an academy on or by 1 January 2019 and require high needs place funding in 2019/20
* Special free schools located in the local authority’s area that were not open by 1 September 2018, and are not therefore included in the pre-populated data, but that are due to open on or by 1 January 2019

‘Other’ should be selected to notify ESFA of changes that are not covered by the other options, such as:* Infrastructure changes e.g. mergers and amalgamations – including mergers across LAs
* Institution name changes
 |
| --- |

1. Select the appropriate dropdown option in column A of the workbook. The following fields should be completed to allow the proposed change to be processed correctly:
* Has the change been agreed (column B): enter ‘yes’ or ‘no’. Implications associated with these options are set out in the [outcomes: determining place numbers section](#_Outcomes:_determining_place)
* Proposed date of change (column C): the date should be the date the template is completed, or a later date and should be formatted dd/mm/yy
* UPIN (column D): this must comprise of six numbers, no letters are permitted. If unknown, leave blank
* LAEstab (column E): this must comprise of seven numbers, no letters are permitted.
	+ If unknown, leave blank
* Institution Name (column F)
* Institution Type (column G): select your option from the dropdown list linked to the cell. See [scope of 2019 to 2020 place change notification process](#_Scope_of_2019) for those institution types that are in scope. By selecting the institution type the cells that require updates will become available (changing from grey to white)
* Notes (column H): ensure that sufficient detail is supplied to enable EFSA to process the change, for example, details of all colleges involved in a merger
1. Where needed, add 2019/20 revised place numbers to the open columns in the table (columns I to AQ). 2018 to 2019 numbers will not be pre-populated but local authorities may manually enter the 2018 to 2019 place numbers on which an institution’s 2018 to 2019 place funding is based, for information.

#### Change from current high needs places

1. The second section (rows 32 to 122) allows you to request changes to high needs places for academic year 2019 to 2020.

| What should be included under the option ‘change from current high needs places’Select this option where:* A change in place numbers is required for any institution funded by ESFA in the 2018 to 2019 academic year and listed on the 1819 HN worksheet
 |
| --- |

1. Use the ‘Change’ link at the top of the worksheet (row 7) to navigate to this section of the workbook.
2. In this section of the workbook a number of the cells are protected stopping you from entering data into them, for example, there is no dropdown option in column A and the reason for change is fixed. The following cells must be completed:
* Has the change been agreed (column B) – enter ‘yes’ or ‘no’. Refer to ‘agreed cases’ section for the implications associated with these options
* UPIN (column D) – this must comprise of six numbers, no letters are permitted
1. Upon entering the UPIN the institution details and place numbers will automatically populate the appropriate fields. This default information is retrieved from the 1819 HN Data sheet
2. Previously greyed out cells will change to white and open to allow you to enter data where applicable. If cells remain grey then these columns will not relate to the institution type associated with the school and they should not be completed
3. Select the 2019 to 2020 revised place numbers cell that you want to change. Enter the total number of places you require, not the difference between the new and old place numbers. For example, if a school has 13 pre-16 high needs places and a total of 20 places is required, enter 20.
4. The difference between the new and old place numbers will appear in the following cell ‘Difference in 2019/20 against 2018/19’.
5. Where no change is required leave the cell blank and the 2018 to 2019 place numbers will automatically roll-forward. If ‘0’ is entered into the 2019/20 revised place number columns, the final place numbers will be set at zero
6. Columns AL to AQ allows changes relating to hospital education place numbers and/or the per place amount for academies only.
7. Columns AT to AV calculates the total high needs places (excluding hospital education) for each institution.
8. A summary of all place changes applied to 2019 to 2020 data is set out at the top of the worksheet (row 6, starting at column I).

## Validation Sheet

1. The validation sheet has been added as a check for local authorities to ensure the workbook is completed correctly. Prior to submitting the completed workbook to ESFA, all values within the validation table should show ‘pass’. ESFA will request corrective action and a resubmission where a validation result shows as ‘Fail’.
* Cell D2 gives the overall validation status of the workbook.
* Cells D4 and D7 show the final validation status concerning the cover sheet and the signed declaration.
* Cell D9 shows the status of the PCN sheet. Where this shows as ‘Fail’, refer to row 14. This gives the summary status for each column where data can be entered. Where a ‘Fail’ appears search that column in the table below to identify the cell containing the error, this will be highlighted in red. This table reflects the format of the PCN sheet and you can use this to locate the cell that has been populated incorrectly on the PCN sheet.
1. As with the PCN sheet, links have been added to the validation sheet to direct you to the two sections of the workbook relating to ‘new/other’ entries and changes from current high needs places.

## PCN Lookups Sheet

1. The information contained within this sheet is lookup data that supports dropdown tables on the place change notification sheet. No action is required with regard to this sheet.

# Outcomes: determining place numbers

1. It is important that local authorities clearly mark whether a change is agreed, or not agreed, with the relevant institution on the workbook. If a change is not agreed with an institution, local authorities must report the number of places they wish to fund, reflecting the needs of all local authorities, and not the number of places the institution is seeking. The following process will be followed in determining the outcomes for publication in January.

## Agreed changes

1. Where eligible institutions and the local authority agree changes to the high needs place numbers, ESFA will update the institution’s 2019 to 2020 place funding to reflect the numbers notified as agreed and this will be reflected in the outcomes published in January.
2. Where post-16 place numbers at academies, or pre-16 place numbers for SEN units at mainstream academies, have been agreed but were not funded in 2018 to 2019, ESFA will check that the academy is recorded on Get Information About Schools (GIAS) as having a sixth form, or specialist provision for places at an SEN unit. If it is not, the published outcomes will record the change as agreed, subject to approval of such provision through the formal process for [making significant changes to an academy](https://www.gov.uk/government/publications/making-significant-changes-to-an-existing-academy).
3. For 2019 to 2020, it will be possible for local authorities to agree with mainstream academy sixth forms, FE institutions and Independent Learning Providers (ILPs) an alternative way of allocating the £6,000 per place funding for high needs places, subject to certain requirements as set out in (see the ‘High needs place funding: flexibility to allocate differently’ section in the [high needs operational guide](https://www.gov.uk/government/publications/high-needs-funding-arrangements-2019-to-2020)). In these circumstances the place number should be reduced accordingly to ensure that the funding remains with the local authority for payment directly to the institution. It is important that such changes are agreed, and notified as agreed, and that the local authority indicates in the comments section the reason for the reduction.

### Special Post-16 Institutions (SPIs): due diligence process

1. As explained previously, local authorities may enter details in their workbook return of SPIs that they are proposing would be funded directly by ESFA for the first time in 2019 to 2020. The local authority responsible for including such SPIs in the return is the authority in which the SPI is located. The return must include the total number of student places for which the SPI is to be funded, and to be eligible for consideration for ESFA funding, these SPIs must have at least ten student places identified for 2019 to 2020. The deadline for the workbook return is 16 November 2018. Those SPIs will be subject to a due diligence process undertaken by the ESFA to assess if they are eligible to be funded. The costs of these places will mainly be met from local authorities’ high needs allocations, on a lagged basis through the operation of the import/export adjustment in the national funding formula. Following the place change notification process the ESFA will contact eligible institutions to begin a due diligence process.
2. Following the place change notification process the ESFA will contact eligible SPIs to begin a due diligence process. Further information on the due diligence process and the requirements institutions must meet to become eligible for ESFA funding will be available in due course. Local authorities are able to commission and fund the full cost of placements in those SPIs that are not in receipt of funding from the ESFA, subject to their own due diligence process. It’s therefore only necessary to include on the workbook details of those SPIs for which the local authority is requesting that place funding is paid directly from ESFA for the first time.

## ‘New institution’ or ‘other’

1. Where a place number change for institutions in the “New institution” or “Other” section is recorded as not agreed, the change will not be reflected in the January published outcomes. If an agreement is reached after 16 November and confirms a significant change to places funded, this may be submitted through the two week [enquiry window](#_Enquiry_window). Clear evidence that the local authority and institution agree the place numbers should be provided.

## ‘Changes to current numbers’: mainstream academies, free schools and AP academies

1. Where place number changes are marked as not agreed for mainstream academies, free schools or AP academies, a change in place numbers will not be reflected in the January published outcomes. We expect there to be continuing dialogue between the relevant local authorities and institution in order to resolve the issue. Local authorities and institutions may then use the [enquiry window](#_Enquiry_window) process to notify ESFA of changes in places numbers that are agreed after the 16 November 2018.
2. In the exceptional circumstance that a place number change remains not agreed, ESFA will consider requests to change the number of places to be included in the academy’s or free school’s general annual grant (GAG) allocation. To support proposed changes to place numbers, local authorities and institutions may provide further information via the enquiry window process. ESFA may seek additional information and will consider all available pupil number and other data, when considering the requested change to the number of places to be funded. A roll forward of 2018 to 2019 place numbers may be used unless there is evidence that another number would be more appropriate. Alternatively, ESFA may hold funding back from the institution on the basis of a lower place number and make a deduction from the local authority’s high needs allocation on the basis of a higher place number, until a place number is agreed.

##  ‘Changes to current numbers’: special academies, special free schools, FE institutions and ILPs

1. ESFA will consider notifications of place changes marked as not agreed with a special academy, special free school, FE institutions or ILPs. We expect to receive very few requests not agreed with institutions. If a change is not agreed with an institution, local authorities must report the number of places they wish to fund, reflecting the needs of all local authorities, and not the number of places the institution is seeking.
2. The principles set out below will be used to determine the 2019 to 2020 academic year place numbers which will be published in January 2019, where those place numbers are marked as not agreed with special academies, special free schools, FE and ILP institutions. Decisions will be informed by the published January 2018 school census and 2017/18 R14 individualised learner record (ILR) data. We’ll publish the ILR R14 data for the 2017 to 2018 full academic year at the end of November 2018.
3. We anticipate the principles are sufficiently clear to assist local negotiations and can be used to resolve any disputes.
4. We’ll only consider 2019 to 2020 place change notifications not agreed with the institution, where the change is:
* at least 10% of the total 2018 to 2019 academic year places for an institution with more than 50 high needs places, or
* at least 5 places for an institution with less than 50 high needs places in the 2018 to 2019 academic year
1. We’ll determine the 2019 to 2020 place number by using 2017 to 2018 ILR R14 (for FE institutions and ILPs) and the January 2018 census data (for special academies and special free schools) and adopt the following three principles:
* where both the local authority’s notification and ILR/census data indicate that a reduction to the 2018 to 2019 place number would be appropriate, we’ll change the 2019 to 2020 place number to the number notified by the local authority
* where both the local authority’s notification and ILR/school census data indicate that an increase to the 2018 to 2019 place number would be appropriate, we’ll change the 2019 to 2020 place number to the number notified by the local authority
* where a local authority’s notification to change the 2018 to 2019 place data is not supported by the trend in the ILR/school census data, we’ll not make any change to the place numbers and the 2018 to 2019 numbers will be rolled forward
1. Examples of how this will work are shown below:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Notification** | **Institution** | **2018 to 2019 high needs places** | **Local authority notification** | **Percent change notified** | **ILR census data** | **ESFA decision** | **Basis for ESFA decision** |
| Decrease to the 2018 to 2019 places | A | 93 | 65 | -30% | 67 | 65 | Notification and data show reduction to high needs places (HNP). ESFA use the number notified by the local authority  |
| Increase to 2018 to 2019 places | B | 100 | 120 | +20% | 130 | 120 | Notification and data show increase to HNP. ESFA use the number notified by the local authority  |
| Decrease to the 2018 to 2019 places | C | 50 | 44 | -12% | 51 | 50 | Notification shows reduction to HNP, but data supports an increase. ESFA therefore roll forward 2018 to 2019 HNP. |
| Decrease to the 2018 to 2019 places - below threshold | D | 40 | 36 | -10% | 36 | 40 | Notification change is 10%, but is for 4 places which is below 5 place threshold. Change not agreed. |
| Increase to the 2018 to 2019 places on 5 place threshold | E | 30 | 35 | 17% | 36 | 35 | Change notification is on 5 place threshold. Notification and data show increase to HNP. ESFA use the number notified by the local authority. |

# Enquiry window

1. As explained earlier, the outcomes of the high needs place change notification will be published in January 2019 and notified to local authorities and institutions via the ESFA Update. Following this, there will be a 2 week period for local authorities and institutions to review this information and raise any enquiries with us about the outcome of the process, including where a place number previously marked as not agreed in the original return has subsequently been agreed.
2. An enquiry can be made by a local authority or an institution. If a local authority or institution raises an enquiry with us in relation to a commissioning position that hasn’t been agreed, we’d expect there to be continuing dialogue between the relevant local authorities and institution in order to resolve the issue.
3. If a local authority or institution raises an enquiry with us in relation to a commissioning position that has been agreed, and there is clear evidence that this has not been accurately reported by the provider local authority, then the ESFA may make adjustments to local authority allocations accordingly to account for this.
4. ESFA will only consider a case to review place change outcomes where there is clear evidence of agreement on the 2019 to 2020 place number between the local authority and institution after a previous position that was not agreed, or where the impact on place numbers is significant. This is a change of either:
* at least 10% of the total 2018 to 2019 academic year places for an institution with more than 50 high needs places
* at least 5 places for an institution with less than 50 high needs places in the 2018 to 2019 academic year
1. To make an enquiry about the outcome of the process, a local authority, academy or FE institution must contact ESFA including ‘2019 to 2020 high needs place number: enquiry’ in the subject, within the two week review period in January 2019. If a local authority is requesting a change, the relevant institution must be copied into the e-mail. If an institution is requesting a change, the relevant local authority must be copied into the e-mail. Please set out the nature of the enquiry clearly, and any background information that provides further context to enable us to consider it.

# Funding implications of 2019 to 2020 place change notifications

1. The place rates used to calculate the 2019 to 2020 high needs allocations on an academic year, by place and institution type, are as shown in the following table. For the purposes of the workbook, where boxes are greyed out in the table below, local authorities may not enter numbers against the place types at these institution types:

|  |  |  |
| --- | --- | --- |
|   | **Pre-16** | **Post-16 (SEN places)** |
|   | **AP** | **SEN Unit/RP** | **Special schools** | **Schools**  | **Post-school (16-18)** | **Post-schools (19-25)** |
| **Mainstream academies and free schools**  |   | £6,000 or £10,000 |   | £6,000 |   |   |
| **Special academies & Free Schools** | £10,000 |   | £10,000 | £10,000 |   |   |
| **AP academies** | £10,000 | £10,000 |   | £6,000 |   |   |
| **FE/ILPs** |   |   |   |   | £6,000 | £6,000 |

1. 2019 to 2020 academic year high needs places will be deducted from the 2019 to 2020 DSG on the following basis:

|  |  |  |
| --- | --- | --- |
|   | **Pre-16** | **Post-16 (SEN places)** |
|   | AP | **SEN Unit/RP** | **Special schools** | **Schools**  | **Post-school (16-18)** | **Post-schools (19-25)** |
| **Mainstream academies and free schools**  |   | £3,500 or £5,833 |   | £4,000 |   |   |
| **Special academies**  | £5,833 |   | £5,833 | £6,667 |   |   |
| **AP academies** | £5,833 | £5,833 |   | £4,000 |   |   |
| **FE/ILPs** |   |   |   |   | £4,000 | £4,000 |

1. The above 2019 to 2020 financial year DSG deductions will be calculated as follows:
* Deductions for the 2018 to 2019 academic year:
	+ pre-16 places and post 16 places in academies : 2018 to 2019 academic year place funding amount \*5/12 (April 2019 to August 2019)
	+ post-16 places (excluding academies) : 2018 to 2019 academic year place funding amount \*4/12 (April 2019 to July 2019)
* Deductions for the 2019 to 2020 academic year pre-16 places and post 16 places in academies: 2019 to 2020 academic year place funding amount \*7/12 (September 2019 to March 2020)
* post-16 places (excluding academies): 2019 to 2020 academic year place funding amount \*8/12 (August 2019 to March 2020)

## Place funding in special units and resourced provision in mainstream schools

1. ESFA will reconcile place occupancy data provided in the Authority Proforma Tool (APT) with the number of places confirmed as part of the place change notification process to determine the rate of place funding for mainstream academies and free schools.
2. It is therefore important that local authorities correctly enter on the APT the number of pupils in high needs places at a mainstream school who are registered at that school, on the October 2018 census, with sole or dual (main) enrolment as:
* places occupied by pupils on the roll of the school at the time of the school census return are funded at £6,000 per place
* the £6,000 funding rate for places occupied by these pupils reflects the per pupil funding that they attract through the schools formula
* where a place isn’t occupied by a pupil who is recorded with sole or dual (main) enrolment status in the school census, these numbers should not be included on the APT and the place rate is £10,000
1. ESFA will reconcile place occupancy data provided in the APT with the number of places confirmed as part of the place change notification process to determine the rate of place funding for mainstream academies and free schools in the following way:
* outcomes from the place change notification process will inform ESFA of the number of high needs places to fund
* the APT will record the number of places occupied by pupils on the roll of the school or academy as at October 2018 (when the school census is completed)
* place funding will not therefore be allocated for pre-16 place numbers recorded in the APT that exceed the number of pre-16 places confirmed as part of the place change notification process, as the latter relates to the number of places to be funded in 2019 to 2020
* the number of occupied places recorded in the APT are funded at £6,000 per place

where the number of pre-16 places confirmed in the place change notification process is greater than the number of occupied places provided via the APT, the difference is the number of places that will be funded at £10,000 per place

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