



Education & Skills
Funding Agency

High needs place change notification 2018 to 2019

Technical note

October 2017

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Purpose

1. This guide is primarily for local authorities and institutions. It describes the process for notifying the Education and Skills Funding Agency (ESFA) of changes to 2018 to 2019 academic year high needs place numbers and requesting changes to hospital education funding. It should be read alongside the [high needs funding 2018 to 2019: operational guide](#).

Introduction

2. This technical note sets out the process for local authorities notifying ESFA of institution level changes to 2018 to 2019 high needs place numbers. It also sets out which institutions are in scope and the principles against which ESFA will consider changes to hospital education funding. It also explains how place funding is determined for institutions not within scope of this process. The process for 2018 to 2019 is similar to last year.

3. As in 2017 to 2018, 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.

4. In considering the number of places funded, local authorities must consider all high needs providers in their area and in doing so must take account, not only of their own commissioning decisions at these institutions, but also the commissioning decisions of other local authorities. In the case of AP, local schools' commissioning activity and plans must also be considered. This will require local authorities to liaise both with the institutions in their area, so that they understand the commissioning activity and intentions of other authorities, and with those neighbouring authorities. 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 2018 to 2019 academic year by 17 November 2017.

5. Changes to 2018 to 2019 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). [Provisional allocations of the 2018 to 2019 high needs funding block](#) for each authority, calculated by the high needs national funding formula, were announced in September 2017.

What has changed for 2018 to 2019?

6. There are significant changes to the way that allocations of funding for 2018 to 2019 to local authorities are determined because of the introduction of national funding formulae for schools, high needs and central school services. However, the underpinning operational processes and principles relating to high needs funding remain largely unchanged from 2017 to 2018.
7. The [final high needs national funding formula for 2018 to 2019 and 2019 to 2020](#) has been confirmed. [Provisional allocations of the 2018 to 2019 high needs funding block](#) have been published. Further information on high needs funding arrangements are available in the [high needs funding 2018 to 2019: operational guide](#).

Import and export adjustment

8. From 2018 to 2019 the high needs national funding formula includes an import and export adjustment of £6,000 per pupil or student. This adjustment is to reflect any changes either in the placement by a local authority of pupils and students in schools and colleges located in other local authority areas (exports), or in the funding required by schools and colleges accepting pupils and students resident in other local authority areas (imports). This adjustment, which is explained in more detail below, means that local authorities will be compensated for the deductions made from their high needs allocation as a result of the commissioning decisions by other local authorities, and vice versa.
9. Apart from the basic entitlement factor (which reflects the number of children in special school places situated within a local authority, regardless of where the child resides), the high needs funding formula is designed to fund local authorities to meet the needs of children and young people who live in their area (regardless of where they are educated). The population and other proxy factors all use data inputs relating to the resident population rather than where they go to school or college.
10. Local authorities face higher costs if they attract more pupils and students with high needs who live outside the local authority area into the school and college places that they fund (imports). Conversely, authorities that “export” pupils and students to other local authority places face lower costs.
11. The import and export adjustment ensures the funding system reflects these differences in costs. It uses school census and individualised learner record (ILR) data on pupils and students who attract top-up funding. The calculation makes a comparison of the numbers occupying places in schools and colleges in the authority area, for which the local authority bears the cost of the places or core funding, and those for whom the authority pays top-up funding wherever they receive their education. Where those two numbers are in balance the costs are neutral and therefore no adjustment is required to the funding through the formula. Where there are more imports than exports, or vice versa, a positive or negative adjustment is made, using a unit value of £6,000. This

represents the cost of the place funding, less the basic entitlement in special schools, or the equivalent in mainstream schools and post-16 institutions.

12. Accurate recording of the number of pupils and students with high needs in the school census and ILR by institutions will be important to give local authorities confidence that their adjustment is being correctly calculated. Institutions must therefore only record pupils and students for whom they receive high needs top-up funding where such funding has been agreed with the relevant commissioning authority. This will ensure that local authority allocations are calculated accurately and on the basis of agreed commissioning decisions between local authorities and institutions. Further information about the import and export adjustment, which will be made on the basis of school census and ILR data, is available in the [high needs national funding formula technical note](#). We'll shortly be making available to each local authority more detailed data at institution level, showing how the data from the schools census and ILR has been aggregated to calculate the net adjustment. This will facilitate the discussions that local authorities need to have with their institutions about current high needs placements and future changes.

Funding places in special units and resourced provision in mainstream schools

13. The national funding formula also introduces a change to the methodology for funding special units and resourced provision in mainstream schools. 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. Places not filled by pupils on the school roll at the time of the October 2017 census count are funded at £10,000.

14. ESFA will use high needs information provided via the authority proforma tool (APT) to determine the rate of place funding allocated to mainstream academies and free schools, and the equivalent deduction that will be made to the local authority's high needs block of the dedicated schools grant. You should note that:

- local authorities must enter on the APT the number of pupils in places who are registered at the school with sole or dual (main) enrolment
 - 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

- 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
 - 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 2017 (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 2018 to 2019
 - 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

Action you need to take

Local authorities

Local authorities must:

- ensure place numbers reflect both recent agreed commissioning activity and strategic planning to secure suitable SEND provision and AP in line with local authorities' and schools' statutory responsibilities
- consult with their maintained schools, local academies and FE institutions to determine funded 2018 to 2019 high needs place numbers
- ensure that an institution's funded place numbers include places agreed and commissioned by other local authorities, and their plans for increasing or reducing future placements
 - the high needs national funding formula and adjustments reflect the funding distribution in those local authorities where the academies and FE institutions in their area have a significant number of pupils or students who live in other local authority areas
 - we therefore require all local authorities to return a place number for the institutions in their area that reflects the commissioning by both their authority and all other local authorities
- submit changes to 2018 to 2019 high needs place numbers in academies and FE institutions to ESFA by 17 November 2017
- if required, request a change to their hospital education funding by 17 November 2017
- complete the APT to inform place funding rates at special units and resourced provision in mainstream academies and free schools

Institutions

Institutions must:

- work with their home local authority (i.e. the authority of the area in which they are situated) and all local authorities currently commissioning places to plan for academic year 2018 to 2019 high needs place funding
- where an institution has a significant number of pupils or students who live in other local authority areas, it's particularly important that the institution engages with

their home local authority to ensure that 2018 to 2019 funded place numbers reflect places agreed and commissioned by other local authorities

- institutions within scope of the 2018 to 2019 place change notification process should ensure that they read this technical note and check the outcome for their institution when published in January 2018
- must record accurate school census data and ILR 2016 to 2017 R14 and 2017 to 2018 R06 data returns, which reflect the agreed commissioning position across all local authority areas

Scope of 2018 to 2019 place change notification process

15. The following institution types are within scope of the 2018 to 2019 place change notification process:

- mainstream academies
- mainstream free schools
- studio schools
- universal technical colleges (UTCs)
- special academies
- alternative provision (AP) academies
- further education (FE) colleges
- Independent Learning Providers (ILPs): formerly known as commercial and charitable providers (CCPs)

16. In addition, this process should be used to notify ESFA of place numbers for:

- special post-16 institutions that require and meet the initial eligibility criteria for receiving place funding directly from the ESFA, and which are not funded by ESFA in 2017 to 2018
- maintained schools, special schools and PRUs that convert to academy status on, or by, 1 January 2018

17. The following types of institution are not within scope of this process:

- maintained schools, special schools and PRUs

- changes to pre-16 and post-16 place numbers in maintained institutions are to be managed by the maintaining local authority from their high needs allocation
- ESFA doesn't need to be informed of changes to place numbers at a maintained institution
- if a local authority maintained school converts to an academy, current place numbers must be notified to the project lead before conversion
- special and AP free schools
 - ESFA will contact special and AP free schools direct in early October 2017 for information to determine their place funding allocations for the 2018 to 2019 academic year
- non-maintained special schools (NMSS) and special post-16 institutions (SPIs)
 - NMSS and SPIs are funded directly by ESFA using school census and ILR data respectively, and not on data collected through this place change notification process

Timeline

Month	ESFA	Local authorities and institutions
September 2017	2018 to 2019 high needs allocations announced	
September 2017	High needs funding 2018 to 2019: Operational Guide published	
Early October 2017	<p>2018 to 2019 high needs place change notification technical note published and workbook issued to local authorities</p> <p>January 2017 school census and 2016 to 2017 ILR R10 data published</p> <p>2017 to 2018 high needs place allocations to institutions updated (as at 1 September 2017)</p>	Local authorities and institutions to engage in discussions about funded 2018 to 2019 place numbers
October 2017	School census and ILR data used for import and export adjustment available to local authorities	Data may be used to aid discussion about place numbers to be funded in 2018 to 2019
17 November 2017		Deadline for local authority submission of 2018 to 2019 high needs place number changes to ESFA
End November 2017	Initial validation of returns complete. ESFA may request a resubmission.	
Mid to late January 2018		

Month	ESFA	Local authorities and institutions
Early February 2018		2 week window closes for enquiries relating to the published outcomes
March 2018	2018 to 2019 high needs allocations issued to FE institutions, free schools, academies, NMSS, SPIs and ILPs	
March 2018	2018 to 2019 DSG update, to reflect the outcome of the 2018 to 2019 place change notification process and high needs place deductions (DSG allocations updated termly for in-year academy conversions)	
March 2018	Publication of 2018 to 2019 high needs place numbers at institution level	

Completion of the local authority workbook

18. Local authorities who need to submit 2018 to 2019 place change notifications to ESFA have until 17 November 2017. Any submissions received after this date will not be considered.

19. A 2018 to 2019 place change notification by a local authority must:

- submit the completed 2018 to 2019 place change notification workbook via the [ESFA data collections portal](#). 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
- have sign-off by the Director of Children’s Services (DCS)

20. The 6 sections of the 2018 to 2019 place change notification workbook are listed in the table below.

Worksheet name	Content
Cover	Local authorities to enter contact details, and a summary descriptor of each worksheet.
2017 to 2018 high needs data	Pre-populated with 2017 to 2018 high needs place numbers for institutions in the local authority area as at 1 September 2017 that are within scope.
Place Change Notification (PCN)	Local authorities may enter 2018 to 2019 place number changes for institutions within scope. Where numbers are not entered, AY 2018 to 2019 place numbers will remain unchanged from AY 2017 to 2018. See the section ‘Place Change Notification’ section below for further information on completion.
Hospital Ed Funding	Local authorities may submit changes to hospital education funding to reflect changes in expenditure due to a change in medical provision in 2017 to 2018. Evidence of the change is required. See

Worksheet name	Content
	the section 'Hospital Ed Funding' below, for further information of completion.
DCS Declaration	All 2018 to 2019 place change notifications require sign-off by the Director of Children's Services (DCS). Before signing off the return, the DCS should satisfy themselves that there has been sufficient contact between all local authorities and institutions and that their template captures the number of places required by all local authorities.
Validation Sheet	Highlights to local authorities and ESFA, any required fields within the document that are incomplete.

21. ESFA have contacted local authority designated users with information on how to submit the workbook via the [ESFA data collections portal](#). 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](#). Detailed guidance on completion of the workbook for designated users is at Annex 1.

22. Local authorities must submit the workbook via the [ESFA data collections portal](#) by 17 November.

23. Guidance on each worksheet for local authority completion is provided in the relevant section below.

Place change notification

24. This sheet requires completion by local authorities. Entries for each institution must have a 'reason for change' identified from the following selection:

- change from current high needs places
- new institution
- other

25. The table in the worksheet is split into two horizontal sections:

- 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 those institutions in the 2017 to 2018 high needs data worksheet required a place number change in 2018 to 2019

26. Guidance on each of the three 'reason for change' options, when they should be selected and the fields requiring completion is set out in the sections below. Guidance on completion by designated users is also available at annex 1.

27. For 'new institution' and 'other' entries, the institution type scope available for selection will be extended to include:

- SPIs
- maintained mainstream schools
- maintained special schools
- maintained PRUs

28. Local authorities will be unable to enter numbers for place types at an institution that are not eligible for ESFA funding. For example, pre-16 AP place numbers cannot be entered for an FE college. Where boxes are greyed out in the workbook, as shown in the table at Annex 2, local authorities will be unable to enter numbers against the place types at these institution types.

Change from current high needs places

29. Local authorities should select this option when seeking to change place numbers for those institutions both within scope as listed at paragraph 15 and funded by ESFA in

the 2017 to 2018 academic year. 2017 to 2018 place data for these institutions is available in the '2017 to 2018 high needs data' sheet.

30. The following table shows the columns requiring completion by local authorities:

Column	Action	Notes
Has the change been agreed?	Select Yes if the relevant institution has agreed the revised numbers.	Changes marked agreed will be accepted. Those not agreed will be determined in line with the principles set out in Annex 3. If the change is not agreed, enter the number of places the local authority is proposing to fund.
UPIN	On entering a valid UPIN, the institution's details and 2017 to 2018 place numbers will pre-populate, feeding through from the 2017 to 2018 high needs data worksheet.	If the institution is not on the 2017 to 2018 high needs data worksheet and doesn't prepopulate, then use the 'New institution or Other' section. This should not be considered a change to current places.

31. Local authorities may enter updated 2018 to 2019 numbers under the relevant 'Revision to 2018/19 numbers' column. Numbers should only be entered against a place type that is changing. If no change is required, the cell should remain blank and 2017 to 2018 numbers will carry-forward.

New institution

32. Local authorities should select this option for:

- new or existing institutions that were not funded for high needs places in 2017 to 2018 and are within scope as listed at paragraph 15
- SPIs to be funded directly by ESFA for high needs places for the first time in 2018 to 2019 (subject to due diligence process)
- schools or pupil referral units that were local authority maintained at 1 September 2017, but will convert to an academy by 1 January 2018 and require high needs place funding in 2018 to 2019

33. As explained above, local authorities may enter details of SPIs requesting to be funded directly by ESFA for the first time in 2018 to 2019. Agreement is subject to the high needs due diligence process. To be eligible to receive ESFA grant funding to deliver specialist education and training provision for students with high levels of support needs in the academic year 2018 to 2019, institutions, whether existing or new, must be included within their home local authorities' workbook, returned to the ESFA by 17 November 2017. To be eligible for consideration for ESFA funding, such institutions must have at least ten student places identified for 2018 to 2019. The costs of these places are not deducted from local authorities' high needs allocations, but will be reflected on a lagged basis through the operation of the import and export adjustment in the national funding formula.

34. Following the place change notification process the ESFA will contact eligible institutions to begin a due diligence process. Further information is available on the elements of the due diligence process and the requirements institutions must meet to be eligible for ESFA funding will be available in due course. Local authorities are able to commission and fund the full cost of placements in SPIs 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 seeking place funding directly from ESFA.

35. The following table shows the columns requiring completion by local authorities:

Column	Action	Notes
Has the change been agreed?	Select 'Yes' if the relevant institution has agreed the revised numbers.	Changes marked as not agreed by the institution will not be accepted. This is in line with the principles set out at Annex 3.
Proposed date of change	Enter the date from which the change takes effect, e.g. date of conversion, or opening date for new provision.	It should be noted that this process relates only to 2018 to 2019 academic place funding. Changes will not be made to 2017 to 2018 place numbers through this process.
Institution name	Enter the name for identification purposes. An local authority establishment number or UPIN should also be entered where known.	

Column	Action	Notes
Institution type	Select the correct institution type, numbers should only be entered against valid place types.	This ensures institutions are within scope, and funded for eligible place types. SPIs seeking ESFA funding for the first time will be identified for the due diligence process.
Notes	<p>Further information on the change must be provided here. This may include:</p> <ul style="list-style-type: none"> • predecessor name and/or local authority establishment number for a local authority maintained school converting to academy • a contact name, telephone number and address for an SPI seeking ESFA funding for the first time 	

36. Once the required fields have been completed, local authorities may enter 2018 to 2019 place numbers to be funded under the relevant ‘Revision to 2018/19 numbers’ columns. 2017 to 2018 numbers will not be pre-populated. However, local authorities may enter 2017 to 2018 numbers for information.

Other

37. Local authorities should select this option to notify ESFA of changes that do not come under either of the above categories. Such changes may include:

- infrastructure changes e.g. mergers and amalgamations, including mergers across local authorities

- institution name changes

38. Entries will be required under each of the following columns:

Column	Action	Notes
Has the change been agreed?	Select 'Yes' if the relevant institution has agreed the revised numbers.	Changes marked as not agreed by the institution will not be accepted. This is in line with the principles set out at Annex 3.
Proposed date of change	Enter the date from which the change takes effect, e.g. date of infrastructure change, merger.	This process relates only to 2018 to 2019 academic place funding. Changes will not be accepted to 2017 to 2018 place numbers through this process.
Institution name	Enter name for identification purposes. An local authority establishment number or UPIN should be entered where known.	
Institution type	Select the correct institution type, numbers should only be entered against valid place types.	This ensures institutions are within scope, and funded for eligible place types.
Notes	<p>Information on the reason for entry e.g. name change or merger and further details must be provided here. This may include:</p> <ul style="list-style-type: none"> • the previous name, in the event of a name change • information on other institutions (including name, UPIN or local authority 	

Column	Action	Notes
	<p>establishment numbers, place number changes) for mergers</p> <ul style="list-style-type: none"> • other information that may be relevant to the change and assist ESFA. 	

39. Once the required fields have been completed, if required, local authorities may enter 2018 to 2019 place numbers to be funded under the relevant 'Revision to 2018/19 numbers' columns. 2017 to 2018 numbers will not be pre-populated but local authorities may enter 2017 to 2018 numbers for information e.g. on mergers.

Hospital education funding

40. Local authorities are able to submit requests to change hospital education funding at local authority level for 2018 to 2019. This may be an increase or reduction in funding due to a change in local health care or medical provision. Local authorities must ensure that the reason for the change in funding is in line with the principles below, before completing the worksheet. Guidance on completing the worksheet and the information required is at paragraphs 46 to 48.

Principles for funding change requests

41. A local authority may request a funding change relating to an increase or decrease in hospital education expenditure, following a change to medical or health care provision in their area.

42. Requests for funding changes that may be considered eligible relate to:

- a change in the education provision during 2017 to 2018, resulting from changes to regional or national hospital or mental health unit provision based in the local authority area, which will continue in 2018 to 2019, or a confirmed change to such provision during 2018 to 2019
 - this includes provision at academies where the funding is deducted from the home local authority's DSG
- infrastructure changes, such as a transfer of services between local authorities

43. Funding changes will not be considered for:

- discrete services for pupils only from the local authority, such as a home tuition service
- speculative increases, or proposed changes to provision in 2018 to 2019 which have not been confirmed
- increase in hospital education places, solely due to reclassification of the same provision for the same children and young people, such as places previously funded as AP
- changes to hospital education provision unrelated to a change in medical provision, for example if a decision is taken to extend the education provision to cover an increase in teacher contact time for a similar number of pupils with similar needs
- independent hospital education provision commissioned for individual children or young people living in the local authority area (e.g. at certain CAMHS units)

- cost increases, such as: pay for salary, pension or national insurance increases for the same number of teachers, or increases in the cost of independent hospital education provision
- one-off costs, such as start-up costs associated with new provision

44. All increases in the funding of places or services that will not be considered by ESFA for the reasons given above, can be considered by the local authority for funding from any increase in their high needs allocation, or from other funds.

45. Information is required at local authority level and must also include details of any changes at the relevant institution(s), such as an increase in one institution is offset by a reduction in another. Local authorities must confirm whether the change is a transfer of provision, including a reclassification of AP places as hospital education, which has been offset by other changes in provision across the authority.

Guidance on completing the worksheet and information required

46. In submitting a request to change hospital education funding in 2018 to 2019, in all cases local authorities need to provide the following information at section 2 'Breakdown by institution of increase or decrease in funding' in the workbook:

- the institution or service name
- hospital education service funding amount, if relevant (2018 to 2019 financial year)
- total hospital education places and the per place funding amount, if relevant (2018 to 2019 academic year)
 - there should be no duplication between the hospital education service funding and hospital education place funding: local authorities should fund the hospital education they provide through either types of funding, although their total hospital education budget may include both types of expenditure
- the change in service and/or place funding requested

47. In addition, information is required at sections 2 and 3 of the workbook. Information should include the reasons for the new health care provision and why the education cannot be provided by previous or current staffing levels. Where appropriate, the cost of any additional staffing should also be given. The NHS evidence should include, where appropriate to support the specific local authority submission:

- details of new inpatient or outpatient health care provision requiring on site hospital education provision

- net increase in beds and dates (month and year) at which new beds became or will become available for occupation
- relevant information about changes to length of stays and recurrent stays that has an impact on the hospital education required

48. The following scenarios are not exhaustive, but intended to provide local authorities with examples of the types of requests ESFA would consider, and the evidence to be provided at sections two and three to support funding change requests. ESFA will consider cases against the principles set out above.

Scenario	Section 2 – Breakdown by institution of increase or decrease in funding	Section 3 - Reason for change and supporting evidence	ESFA to consider
A new 10-bed ward opens in a children’s hospital	Provide details of the hospital education provider, impact on recurrent financial year costs. Total service or place funding, and the change in funding required.	Provide information on the actual change in medical provision and the impact on education provision and costs. NHS evidence must be attached to confirm the date of opening and number of beds.	Yes
An increase in day health care provision that is not associated with an increase in the number of overnight beds (sometimes called ambulatory care), but where on-site education is provided.	Provide details of the hospital education provider, impact on recurrent financial year costs. Total service or place funding, and the change in funding required.	Provide information on the actual change in medical provision and the impact on education provision and costs. NHS evidence must be attached confirming the increase in the	Yes

Scenario	Section 2 – Breakdown by institution of increase or decrease in funding	Section 3 - Reason for change and supporting evidence	ESFA to consider
		number of young people receiving day (ambulatory) health care provision.	
Growth in provision for inpatients over several years that results in need for additional teacher	Provide details of the hospital education provider, impact of increase on recurrent financial year costs. Total service or place funding, and the change in funding required	Provide information on the increase in medical provision over 3 years and how that impacts on the need for an increase in education provision. NHS evidence must be attached confirming the increase in the young people receiving inpatient health care provision over the same 3 years.	Yes
Transfer of provision between local authorities	Provide details of the hospital education provider, impact of transfer on recurrent financial year costs Total service (and/or place funding), and the change in funding required. This should be as	Evidence from the relevant local authorities, confirming the amount of DSG funding to be transferred in relation to the hospital education service provision.	Yes

Scenario	Section 2 – Breakdown by institution of increase or decrease in funding	Section 3 - Reason for change and supporting evidence	ESFA to consider
	agreed with the transferring local authority.		
Increased home tuition or outreach, including where hospital education is delivered at the young person’s home because of their medical condition	N/A	N/A	No: this is a service for children and young people living in the local authority area rather than a service open to those living elsewhere
An increase of 10 hospital education places at a PRU, that offsets a reduction of AP places, but doesn’t represent any actual change in provision or the needs of pupils attending the provision.	N/A	N/A	No: this would be considered redesignation of provision and not an eligible change in provision.

Enquiry window

49. The outcomes of the high needs place change notification will be published in January 2018 and notified to local authorities and institutions via the ESFA e-bulletin. 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.

50. 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 normally expect there to be continuing dialogue between the relevant local authorities and institution in order to resolve the issue.

51. ESFA will only consider a case to review place change outcomes where there is clear evidence of agreement on the 2018 to 2019 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 2017 to 2018 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 2017 to 2018 academic year

52. To make an enquiry about the outcome of the process, a local authority, academy or FE institution must [contact ESFA](#) including '2018 to 2019 high needs place: enquiry' in the subject, within the two week review period in January 2018. 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.

Annex 1: completion of workbook for designated users

This guidance shows designated users in local authorities how to navigate and complete the high needs workbook for submission to ESFA via our [data collections portal](#).

The high needs workbook can be downloaded from the [data collections portal](#). Username and passwords to access the portal and the high needs workbook will be emailed to the local authority prior to the data collections exercise beginning.

How do I complete the high needs workbook

The workbook has been designed to support the local authorities submit to ESFA changes in their 2018 to 2019 high needs places and hospital education funding. Where numbers are not entered, AY 2018 to 2019 place numbers will remain unchanged from AY 2017 to 2018. The workbook is comprised of 6 sheets and they are the:

- cover
- 1718 high needs data
- place change notification
- hospital education funding
- DCS declaration
- validation sheet

Key rules for the successful completion of the workbook

Key rules for the successful completion of the workbook are:

- for each entry, start at column A and work along the row
- don't enter data into greyed out cells
- only one entry is permitted per school
- where a change in 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 2018 to 2019 revised place number columns, the final place numbers will be set at 0

- ensure all validation markers show as 'pass' before submitting the workbook to the ESFA

Revised place data for academic year 2018 to 2019 should be entered into these sheets as set out below.

Cover

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.

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

The validation on this page will show as a 'fail' where the primary contact details haven't been entered.

Additional information included in the cover sheet are the sections of the workbook that form part of the data collection exercise. These are the:

- 1718 high needs data
- place change notification
- hospital education funding
- DCS declaration
- validation sheet

There is a brief description of the areas covered and a hyperlink to the different sheets to help navigate around the workbook.

1718 HN Data

This sheet contains details of 1718 high needs data, correct as of 1 September 2017, for those institution types that are in scope for changes from current high needs places. Refer to paragraph 15 for a list of institutions that are in scope.

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)

The PCN sheet should be used to notify ESFA of changes from 2017 to 2018 high needs places and hospital education funding.

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

At the top of the sheet there is current validation status (see the section headed validation sheet for more details). This will show as 'pass' if the worksheet is completed correctly.

The workbook is split into two sections depending on the reason for change that you require. 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.

The workbook is designed so that 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.

The process for completing the two sections of the sheet are set out below.

New or other Change Notification

The first section (rows 10 to 24) focuses on 'new' and 'other' reasons for change in the academic year 2018 to 2019. Refer to paragraphs 15 and 16 for a list of institutions that are in scope. See also paragraphs 32 to 39.

How do I decide which dropdown to use?

'New' should be selected where:

- new or existing institutions that were not funded for high needs places in 2017 to 2018
- SPIs to be funded for high needs places directly by ESFA for the first time in 2018 to 2019 (subject to due diligence process)
- schools or pupil referral units that were local authority maintained at 1 September 2017, but will convert to an academy by 1 January 2018 and require high needs place funding in 2018 to 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 local authorities
- institution name changes

Use the link 'new/other' at the top of the worksheet to navigate to this section of the workbook.

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'
 - refer to sections 35 and 38 of the 2018 to 2019 technical specification for the implications associated with these options
- proposed date of change (column C)
- UPIN (column D), this must comprise of six numbers, no letters are permitted
- LAEtab (column E), this must comprise of seven numbers, no letters are permitted and if unknown, leave blank
- Institution Name (column F)
- Institution Type (column G), select your option from the dropdown list linked to the cell
 - see above for those institution types that are in scope
- Notes (column H), ensure that sufficient detail is supplied to enable ESFA to process the change, for example, details of all schools involved in a merger

Where needed, add 2018 to 2019 revised place numbers to the open columns in the table (columns I to AQ).

Change from current high needs places

The second section (rows 26 to 110) allows you to request changes to high needs places for academic year 2018 to 2019.

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 2017 to 2018 academy year and listed on the 1718 HN work sheet.

Use the link 'change' at the top of the worksheet to navigate to this section of the workbook.

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 paragraph 30 for the implications associated with these options
- proposed date of change (column C)
- UPIN (column D), this must comprise of six numbers, no letters are permitted

Enter the UPIN and the institution details and 2017 to 2018 place numbers will automatically populate the appropriate fields. This information is retrieved from the 1718 HN data sheet.

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

Select the 2018 to 2019 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.

The difference between the new and old place numbers will appear in the following cell 'Difference in 2018/19 against 2017/18.

Where no change is required leave the cell blank. If '0' is entered into the 2018 to 2019 revised place number columns, the final place numbers will be set at 0.

Columns AL to AQ allows changes relating to hospital education places.

Columns AT to AV calculates the total high needs places (excluding hospital education) for each institution.

A summary of all place changes applied to 2018 to 2019 data is set out at the top of the work sheet (rows 3 and 4, columns I to AV).

Hospital Ed Funding

This sheet can be used to submit requests to change hospital education funding at a local authority level for 2018 to 2019. Further information on what changes can be included in this workbook are detailed in the paragraphs 40 to 48.

Where a change is required:

- insert institution details such as name and LA Estab into section 2, cells C8, C14 and C20
- relevant funding information into section 2, column G
- reason for change into section 3, cell C28
- attach evidence to section 3, cell C29. Instruction on how to insert a document is set out in Cell A31
 - for examples of the types of evidence ESFA will require refer to paragraph 48

DCS Declaration

ESFA requires the Director of Children's Services (DCS) declaration to be completed. If this worksheet is not completed correctly the submission will be rejected and a resubmission requested.

The validation status is shown at the top of the page. This will show as a 'Fail' where the three statements have not been ticked and the date is not entered.

To successfully complete the DCS declaration ensure the following steps are completed:

- check the three tick boxes to confirm DCS agreement to the statements
- enter the name of the Director of Children's services in the section headed 'Name'
- insert an electronic DCS signature into the section headed 'signature'.
 - if you're unable to insert an electronic signature into this cell scan a hard copy of the completed form and insert the file into the free cell at the bottom of the page
 - instructions on how to insert a document are set out below the free cell
- enter the date of completion into the 'date' cell

Validation Sheet

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 with regards to the cover sheet and the DCS declaration sheet
- cell D9 shows the status of the PSC sheet
 - where this shows as 'Fail', refer to row 16
 - this gives the summary status for each column
 - 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

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.

Information relating to hospital education funding in row 11 if for ESFA use only.

PCN Lookups

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.

Annex 2: funding implications of 2018 to 2019 place change notifications

The place rates used to calculate the 2018 to 2019 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	£10,000		£10,000	£10,000		
AP academies	£10,000	£10,000		£6,000		
FE/ILPs					£6,000	£6,000
SPIs					£6,000	£6,000

2018 to 2019 academic year high needs places will be deducted from the 2018 to 2019 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
SPIs					-	-

The above 2018 to 2019 DSG deductions are calculated as follows:

- pre-16 places: academic year place funding amount *7/12 (September 2018 to March 2019)

Post-16 places: academic year place funding amount *8/12 (August 2018 to March 2019)

2018 to 2019 deductions for the 2017 to 2018 academic year are as follows:

- pre-16 places: academic year place funding amount *5/12 (April 2018 to August 2018)
- post-16 places: academic year place funding amount *4/12 (April 2018 to July 2018)

Annex 3: determining not agreed place numbers

Where eligible institutions and the local authority agree changes to the high needs place numbers, the revised 2018 to 2019 place number must be clearly recorded against the relevant institution and marked as agreed. ESFA will update the institution's 2018 to 2019 place funding to reflect the revised number.

Where local authorities and institutions have not agreed a change, this must be clearly marked as not agreed on the workbook and the following process will be followed, depending on the reason for change and type of institution.

'New institution' or 'other'

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. In the event that an institution has more than one change, but only one is not agreed (e.g. an agreed infrastructure change, but place numbers are not agreed), local authorities may consider notifying ESFA of the agreed change in the workbook and should have further discussions with the institution on the change this is not agreed. If an agreement is reached after 17 November and confirms a significant change to places funded, this should be submitted through the two week Enquiry Window (see paragraphs 49 to 52). 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

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 process, set out at paragraphs 49 to 52, to notify ESFA of changes in places numbers that are agreed after the 17 November 2017.

In the exceptional circumstance that a place number change remains not agreed, ESFA will determine 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, to determine the number of places to be funded. A roll forward of 2017 to 2018 place number may be used unless there is evidence that another number would be more appropriate.

Deductions will be made from the dedicated schools grant allocation to the local authority in which the academy or free school is situated, to reflect the place numbers included in the GAG allocation (see annex 2). Differences between actual occupancy and funded places may be taken into account locally in the top-up funding arrangements.

‘Changes to current numbers’: special academies, FE colleges and ILPs

ESFA will consider notifications of place changes marked as not agreed with a special academy, FE college or ILP. We expect to receive very few requests not agreed with institutions.

The principles set out below will be used to determine the 2018 to 2019 academic year place numbers that are published in January 2018 as the outcome of the 2018 to 2019 place change notification process, where the place numbers are marked as not agreed with special academies and FE institutions. Decisions will be supported by the published January 2017 school census and May 2017 individualised learner record (ILR) data.

We’ll update the ILR data to the 2016 to 2017 full academic year outturn at the end of November 2017. We anticipate the principles are sufficiently clear to assist local negotiations and can be used to resolve any disputes. Differences between actual occupancy and funded places may be taken into account locally in the top-up funding arrangements.

We’ll only consider 2018 to 2019 place change notifications not agreed with the institution, where the change is:

- at least 10% of the total 2017 to 2018 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 2017 to 2018 academic year

We’ll determine the 2018 to 2019 place number by using 2016 to 2017 ILR R14 (for FE colleges and ILPs) and the January 2017 census data (for special academies) and adopt the following three principles:

- where the notification and ILR/census data confirm a reduction to the 2017 to 2018 place data, we’ll change the 2018 to 2019 place numbers to the higher of the ILR census data or the notification
- where the notification and ILR/census data confirm an increase to the 2017 to 2018 place data, we’ll change the 2018 to 2019 place numbers to the lower of the ILR census data or the notification

- where a notification to change the 2017 to 2018 place data is not confirmed by the trend in the ILR census data, we'll not make any change to the place numbers and the 2017 to 2018 numbers will be rolled forward

Examples of how this will work for special academies and FE institutions are shown in table 5:

Notification	Institution	2017 to 2018 high needs places	Local authority notification	Percent change notified	ILR census data	ESFA decision	Basis for ESFA decision
Decrease to the 2017 to 2018 places	A	93	65	-30%	67	67	Notification and data show reduction to HNP. ESFA decide on higher number, which in this case is the data.
Increase to 2017 to 2018 places	B	100	120	+20%	130	120	Notification and data show increase to HNP. ESFA decide on lower number, which in this case is the local authority notification .
Decrease to the 2017 to 2018 places	C	50	44	-12%	51	50	Notification shows increase to HNP, but

Notification	Institution	2017 to 2018 high needs places	Local authority notification	Percent change notified	ILR census data	ESFA decision	Basis for ESFA decision
							data is lower. ESFA therefore roll forward 2017 to 2018 HNP.
Decrease to the 2017 to 2018 places - below threshold	D	40	36	-10%	36	40	Notification change in 10%, but for 4 places which is below 5 place threshold. Change not agreed.
Increase to the 2017 to 2018 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. Agree to 35 places.



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