Evaluation of Pupil Premium Research Report
July 2013

Hannah Carpenter, Ivy Papps, Jo Bragg, Alan Dyson, Diane Harris & Kirstin Kerr, Liz Todd & Karen Laing

TNS BMRB, TECIS, Centre for Equity in Education, University of Manchester & Newcastle University
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Acronyms and Abbreviations

DfE  Department for Education
FSM  Free School Meals
SEN  Special Educational Needs
PRU  Pupil Referral Unit
NEET  Not in Employment, Education or Training
CFR  Consistent Financial Reporting
NPD  National Pupil Database
EAL  English as an Additional Language
GOR  Government Office Region
TA  Teaching Assistant
Executive Summary

Introduction

This report, commissioned by the Department for Education, presents the findings of an independent evaluation of the Pupil Premium. The Pupil Premium takes the form of additional funding allocated to schools on the basis of the numbers of children entitled to and registered for free school meals (FSM) and children who have been looked after continuously for more than six months. Schools received £488 per eligible pupil - approximately 18% of the pupil population - in 2011-12 and £623 per eligible pupil in 2012-13. Eligibility was widened to cover approximately 27% of the population in 2012-13 with the inclusion of those recorded as eligible for FSM at any point in the last six years. The expectation is that this additional funding will be used to support Pupil Premium eligible pupils and close the attainment gap between them and their peers. A survey of schools during the Autumn term of 2012 to collect quantitative information and financial data, case studies and analysis of the National Pupil Database were conducted to investigate how Pupil Premium funding is being spent by schools in England. The evaluation aims to answer the following specific questions:

- How have primary, secondary and special schools, and pupil referral units within the sample spent Pupil Premium funds?
- How do schools decide how to spend the Pupil Premium?
- Are there differences in the use of Pupil Premium funds between schools with different characteristics? (In particular are there differences between schools with high, medium and low proportions of FSM pupils?)
- What do schools perceive the impact of Pupil Premium funding to have been so far?
- What do schools plan to do with Pupil Premium funding in future years?
Key findings

Identifying and targeting disadvantaged pupils for support

Schools in the survey were using a wide range of criteria to define disadvantage, not just Free School Meals (FSM) and looked after children\(^1\). They often combined funding from the Pupil Premium with funding from other sources in order to sustain provision targeted at a wide range of disadvantaged pupils. This range included, but was not restricted to, members of those groups of pupils who attracted the Pupil Premium.

Case study schools were all aware of which pupils were entitled to FSM, though in some cases they were not aware of how to identify pupils who fell into the ‘Ever6’ category who have also attracted the Pupil Premium since 2012-13. They were also usually aware of a wide range of other factors which might act as barriers to learning, including whether pupils were looked after. All of the schools were aware that they were expected to pay particular attention to the needs of the pupils who attracted the Pupil Premium. However, they were usually reluctant to use FSM entitlement as the only criterion for making additional provision, preferring instead to make such provision on the basis of their assessment of educational rather than economic need.

Most schools surveyed (91% of PRUs, 90% of special schools, 84% of primary schools and 78% of secondary schools) aimed their support at all disadvantaged pupils (according to their definition of disadvantage) but a minority targeted specific groups or individuals – most commonly those with low attainment or not making good progress. Most primary and secondary schools (69% and 73% respectively) had different support for different age groups.

Over three-quarters of schools surveyed (88% of primary schools, 84% of secondary schools, 78% of special schools and 75% of PRUs) had encouraged families to register for FSM since the introduction of the Pupil Premium. In most cases this was an activity they would have undertaken anyway and was not done because of the Pupil Premium. However, when encouraging families to register for FSM, most schools surveyed (80% of both primary and secondary schools) did tell parents that this would increase the funding the school gets. Some case study schools suggested they were prevented from encouraging registration by risks of stigma and the potential demands of parents aware of the way Pupil Premium funding is allocated.

\(^1\) The Pupil Premium is allocated to schools for pupils who have been recorded as eligible for FSM at any point in the last six years, known as ‘Ever6 Free School Meals’ and pupils who have been looked after continuously for more than six months by the local authority.
Selecting and providing effective interventions for disadvantaged pupils

The types of support schools offered were determined by the needs of their pupils: the case studies found some schools with evidence-based systems for assessing the needs of pupils. These systems appeared to be sophisticated, though it was beyond the scope of the evaluation to observe their operation in detail. Not all support was directly aimed at raising attainment. Some support focused on wider issues in children's and families’ lives, particularly where schools perceived these to be a ‘barrier to learning’ and felt that dealing with them would lead to improved attainment.

All schools in the survey were offering a range of different types of support to help pupils they considered to be disadvantaged such as: additional support both inside and outside the classroom (including one-to-one tutoring and small group teaching); additional staff (which may include teaching assistants, extra teachers, learning mentors and family support workers – schools were not asked which of these they were using); school trips; out of hours activities; provision of materials or resources; parental support; and support from specialist services. Primary and secondary schools with higher proportions of FSM pupils tended to offer more types of support. This range of support had been built up over time, not introduced since Pupil Premium funding began.

The biggest items of expenditure amongst surveyed schools were support for pupils focused on learning in the curriculum and social, emotional and behavioural support. Secondary schools and Pupil Referral Units (PRU) also had a substantial amount of expenditure on alternative learning pathways and curriculum. The pattern of expenditure across types of provision did not differ significantly by level of FSM in schools. The expenditure reported by surveyed schools does not relate solely to those funded by the Pupil Premium as schools were reporting all expenditure for their definitions of disadvantaged pupils.

In general, schools had been providing support for pupils they saw as disadvantaged before the introduction of the Pupil Premium and the most common resource they used when deciding how to spend the Pupil Premium was their own experience of what works (used by over 90% of schools surveyed). The case studies suggest that this evidence often included careful monitoring of the impacts of support on these pupils. However, many schools were also using other sources, particularly evidence

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2 Additional support inside and outside the classroom, additional staff and school trips were all offered by 90% of schools or more, the other types of provision mentioned above were all offered by at least 70% of schools.

3 These are alternatives for pupils who are having difficulties with the traditional learning pathway. For example, arrangements with a local FE College or other provider to deliver specific courses or programmes resulting in qualifications such as BTEC; ASDAN; PECI.
from other schools (70% or more amongst different types of schools) and academic research (45% or more).

Most schools surveyed (around 70% or more) were working with other schools, their local authority and/or external providers in order to provide support for pupils, and many schools were pooling budgets with other schools when doing so. The case studies found that external providers (including the local authority) were important for providing services the school itself would not be able to offer, such as educational psychologists.

Almost all surveyed schools considered the types of support they were offering to be effective, but the type of support most consistently likely to be considered very effective was additional staff: around three-quarters (75%) or more of surveyed schools using additional staff to support disadvantaged pupils thought this was very effective). Additional support outside the classroom was thought to be very effective by at least 60% of the schools offering this, and additional support inside the classroom was thought to be very effective by around 70% of primary schools, special schools and PRUs, but only 41% of secondary schools.

It is too early to measure the impacts of the Pupil Premium on attainment, and this evaluation only aimed to look at schools’ perceptions of the Pupil Premium, and how it has influenced the support provided to pupils. However, almost all schools surveyed (95% or more) were monitoring the impact of the support they were providing for the pupils they targeted – in particular they were looking for improvements in attainment but also improvements in attendance, confidence and behaviour and, for secondary schools and PRUs, reductions in exclusions and in pupils being NEET after leaving school. The case studies found some schools with what appeared to be sophisticated systems for monitoring the impact of their support, including systems that could be used to monitor specific groups of pupils, such as those eligible for FSM.

**Trends in support following introduction of the Pupil Premium**

Early scoping work suggested that many schools were likely to have been pooling Pupil Premium funding with other budgets – as indeed proved to be the case – and that they tended to offer a wide range of support for disadvantaged pupils, some of which was funded by the Pupil Premium and some funded from other sources (and these were not necessarily differentiated). Some schools might be able to say directly what they had spent the Pupil Premium on but in other cases, the specific items funded by the Pupil Premium would not necessarily be defined separately in schools’ financial data and so would be difficult to provide. Given these issues, to ensure useable findings the survey requested financial data about the support offered for pupils they view as ‘disadvantaged’ in more general terms than Pupil Premium eligibility, alongside information on which pupils they tended to include in this.
Over 60% of schools surveyed reported reduced overall budgets between 2010-11 and 2011-12\textsuperscript{45}. Even more schools expected to experience reduced budgets between 2011-12 and 2012-13. It is important to consider this context when examining how schools have used Pupil Premium funding.

Pupil Premium funding constitutes a relatively small proportion of schools’ total income – in 2011-12 it was, on average, between 3.8% for primary schools with high levels of FSM and 1.0% for secondary schools with low levels of FSM. However, the case studies found that, despite being a relatively small amount of funding, it was often significant in that it was earmarked for spending on disadvantaged pupils and so helped schools to maintain (or even increase) their support for these pupils, in the face of pressures on budgets.

The vast majority of schools surveyed (91% of secondary schools, 88% of primary schools, 86% of PRUs and 83% of special schools) were explicitly targeting pupils they considered to be disadvantaged for additional support before the introduction of the Pupil Premium, although most now had more support on offer than they did before the Pupil Premium (with the remainder having the same level of support as before).

This is reflected in expenditure data. Most schools surveyed were spending on provision to address disadvantage (according to their definition of disadvantage) before the introduction of the Pupil Premium (95% of schools that could report figures for spending on disadvantage had positive spending in 2010-11) and about 70% of schools had increased such expenditure since the introduction of the Pupil Premium. Moreover, schools were increasing spending on this provision even in the face of pressures on their budgets.

The majority of schools surveyed were spending more than their Pupil Premium allocation on provision to address disadvantage, according to their own definition of disadvantage, (84% of primary schools and 91% of secondary schools in 2011-12). A minority of schools reported spending less than their Pupil Premium allocation but, as discussed further in section 3.3.1, in some cases this will be due to under-reporting of spending on disadvantage, rather than schools spending their Pupil Premium allocation on other things.

A major determinant of how schools made use of the Pupil Premium was the state and trajectory of their overall budgets: schools with stable or increasing budgets

\textsuperscript{4} DfE data shows that primary and secondary schools, on average, actually had a small increase in nominal per pupil funding over this time period. However, the survey looked at total real funding including external funding and income, taking into account local authorities charging for services that had previously been provided free of charge and inflation.

\textsuperscript{5} Schools in the survey were asked to provide information for financial years and most did, although a few were only able to answer for academic years. The data reported here is therefore mostly, but not exclusively, based on financial years.
tended to treat the Pupil Premium as additional funding; schools with decreasing real funding tended to use it to maintain provision that had previously been funded from other sources. If existing support is to be maintained or expanded it is therefore important to take into account other changes in school resources.

**Perceptions of the Pupil Premium’s impact on support**

Over 90% of schools surveyed had been focused on supporting disadvantaged pupils before the introduction of Pupil Premium, and over 80% reported that the Pupil Premium alone was not enough to fund the support they offered for disadvantaged pupils, including a wider group of pupils than those eligible for Pupil Premium funding. However, Schools had some positive attitudes towards the Pupil Premium: at least two thirds agreed that they would not be able to do as much for disadvantaged pupils (however they defined disadvantage) without it. With the exception of PRUs, at least two thirds agreed it allowed them to maintain services they might not have been able to without Pupil Premium funding.

Most schools surveyed (82% of PRUs, 70% of special schools, 66% of primary schools and 56% of secondary schools) would aim not to withdraw any of the types of support they offer if they did not have Pupil Premium funding but they would have to reduce the level of support offered. Amongst schools that would have to withdraw support without the Pupil Premium the most likely type of support they would withdraw would be additional staff. This is an intervention schools had perceived to be very effective. At the time of the survey 98% of primary schools and 95% of secondary schools were using additional staff to support disadvantaged pupils: without Pupil Premium funding this would reduce to 76% of primary schools and 70% of secondary schools. Smaller, but still notable reductions would be seen for other types of support, particularly additional support outside the classroom and out of hours activities.

The majority of schools in the survey (80% of secondary schools, 73% of special schools, 67% of primary schools, and 53% of PRUs) said they had introduced new support and/or enhanced their existing support for disadvantaged pupils as a direct result of the Pupil Premium. The case studies suggested a more complex situation of evolving provision which the Pupil Premium contributed to, with schools generally having used Pupil Premium money to finance existing forms of support rather than doing anything ‘brand new’.
Future plans for supporting disadvantaged pupils

Many surveyed schools (60% of secondary schools, 49% of PRUs, 40% or primary schools and 40% of special schools) were planning on increasing their support for disadvantaged pupils (according to their definition of disadvantage) over the coming year, while most of the rest were planning to continue at the same level.

Most schools surveyed (79% of secondary schools, 75% of special schools, 68% of primary schools and 57% of PRUs) were planning on introducing new forms of support over the coming year using Pupil Premium funding. The most common types of support schools were planning to introduce were additional support outside the classroom and additional staff. Case study findings suggested a slightly more cautious picture, with schools less willing to expand their provision at a time of uncertain budgets.

Recommendations for national policy

There is a tension between the criteria that are used to allocate Pupil Premium funding and the criteria that have been used by schools to define and respond to educational disadvantage more generally. This is probably inevitable given that allocation mechanisms need to be simple whilst the nature of disadvantage is complex. However, schools could be given clearer messages about the distinction between the two, and about whether their targeting of the Pupil Premium is legitimate.

Likewise, there is a tension between the forms of provision which schools believe to be necessary and effective, using their professional judgement and experience, and their understandings of external expectations. The nature of these expectations, and the extent to which they are binding on schools, could be made clearer.

The extent to which and in what ways schools should be held to account for their specific use of the Pupil Premium are important. Given that the Pupil Premium is often pooled with other funds and used to support a wide range of provision, simply asking schools how they use it is unlikely to produce an illuminating answer. A more nuanced inquiry into how they use all of their funding to maintain all of their provision for disadvantaged pupils would be more complex to undertake but would be likely to reveal more. This has implications for Ofsted inspections, during which schools are asked about their use of the Pupil Premium.

The ways academic research and schools’ own evidence might best be used to shape provision seem unclear. Academic research is likely to be relatively robust, but cannot take into account the particular contexts of particular schools. Schools’ own evidence is likely to be less robust, but much more context-sensitive and familiar to them. The implication is that both forms of evidence are necessary, but schools may need, and should seek out, support in making appropriate use of both.
Schools’ systems for assessing needs in their population, for formulating responses to those needs, and for monitoring the impacts of provision often appear to be highly impressive. If schools are to use the flexibility offered by the Pupil Premium in the best interests of their pupils, they will all need to develop robust systems of this kind. However, there is considerable variation in how systems work, and it seems unlikely that they are all currently equally robust. Schools should be encouraged and supported to develop their capacity in this respect, with best practice disseminated across the system.

**Background**

Pupil Premium funding was introduced in April 2011 and is additional funding given to schools so that they can support their Pupil Premium eligible pupils and close the attainment gap between them and their peers. The Pupil Premium funding is paid to schools for each pupil who is eligible for free school meals, or has been continuously looked after for more than six months by the local authority. Schools received £488 per eligible pupil in 2011-12 and £623 per eligible pupil in 2012-13. In 2013-14 the per pupil funding rises to £900 per eligible pupil.

It is up to head teachers to decide what interventions to spend Pupil Premium money on, as they are best placed to understand the educational needs of their Pupil Premium eligible pupils. However, it is important for the Department for Education to know what initial impacts the Pupil Premium is having on schools, how they are spending it, and whether it is helping improve the life chances of eligible pupils. It is too soon to answer this final question, but this evaluation seeks to address the first two. The Department commissioned a research consortium led by TNS BMRB to investigate school expenditure of the Pupil Premium; how the decisions are made on the way it is spent; and the perceived impact it is having so far.

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6 Funding is paid directly to Academies and Free Schools. For other schools the funding is paid to local authorities but, in the case of mainstream schools, LAs are required to pass the funding to schools they maintain. For pupils in non-mainstream provision LAs can choose whether to allocate funding to the establishment or use it to make central provision for the pupils.

7 In 2012-13 eligibility for the Pupil Premium was increased to include pupils that had been recorded as eligible for free school meals in the last 6 years, known as Ever6.
Methodology

There were four strands to this evaluation:

- A scoping stage involving short case studies of five schools in June and July 2012 - this stage was undertaken to gain an initial picture of how schools were responding to the Pupil Premium in order to inform design of the survey instruments and case study topic guide;

- A 20 minute telephone survey of 1,240 maintained and academy schools in October to December 2012 that collected financial information (via a datasheet, sent in advance of the interview) and also asked about the support schools provided for disadvantaged pupils, and their opinions of the Pupil Premium. Schools with higher levels of FSM pupils were intentionally over-represented but the sample was otherwise representative. Only a little over half of respondents completed the datasheet with financial information;

- Case studies of 34 schools between September 2012 and February 2013 to explore schools’ uses of the Pupil Premium in greater depth – these included interviews with the head teacher, the school business manager, the senior leader responsible for work on educational disadvantage (for instance the Inclusion Manager), and staff members managing relevant budgets;

- Analysis of data from the National Pupil Database to examine the characteristics of schools that took part in the survey and compare them to schools nationally, and also, where possible, to break down survey findings for schools with different characteristics.
1. Introduction

1.1 Policy background

The Pupil Premium is part of an overarching government strategy to improve support for children, young people and families, focusing on the most disadvantaged. It takes the form of additional funding allocated to schools on the basis of the numbers of children entitled to and registered for free school meals (FSM) and children who have been looked after continuously for more than six months. The expectation is that this additional funding will be used to support Pupil Premium eligible pupils and close the attainment gap between them and their peers.

Funding of £625m was provided for the Pupil Premium in 2011-12. This has increased to £1.25bn for 2012-13 and has risen to £1.875 billion in 2013-14. The budget is set to increase to £2.5bn nationally by 2014-15. Schools received £488 per eligible pupil in 2011-12 and £623 per eligible pupil in 2012-13. The per pupil amount has risen to £900 in 2013-14.

Schools have been given autonomy to decide how the funding is spent, and what kinds of provision will make a difference to their Pupil Premium eligible pupils. The Department for Education expects head teachers to make informed decisions, drawing on evidence as well as their professional judgement, when deciding which interventions to spend their Pupil Premium on. Head teachers can use sources such as the EEF-Sutton Trust Teaching and Learning Toolkit to inform their decisions and the Education Endowment Foundation (EEF) is accumulating further evidence of ‘what works’. However, the decisions themselves remain firmly in the hands of individual schools. Since their situations vary in terms of the composition of their pupil population, they are likely to make very different decisions. Moreover, schools will need to determine their use of Pupil Premium funding within the context of their existing forms of provision for tackling educational disadvantage, and the often complex funding streams through which that provision is supported.

Although schools are able to make their own decisions about how to spend Pupil Premium funding, they are accountable for its use. Under the new Ofsted inspection framework, inspectors look for evidence of what the Pupil Premium has been spent on and how this has impacted on pupil attainment. From September 2013, schools that are identified by Ofsted as requiring improvement, and where disadvantaged pupils do particularly poorly, will be required to work with an outstanding leader of

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8 In 2011-12 pupils that were currently eligible for FSM were eligible for the Pupil Premium, but in 2012-13 the eligibility criteria for the Pupil Premium was extended to include pupils that had been eligible for FSM in the last 6 years, known as ‘Ever6’. To help schools identify these pupils the Department provides an initial download of pupils’ FSM histories via the ‘Key to Success’ website which follows individual pupils as they transfer between schools.

education with a track record of narrowing attainment gaps to draw up new Pupil Premium spending plans. Ofsted will look at these plans when monitoring progress and re-inspecting the school. Schools that do not demonstrate improvement risk being judged ‘inadequate’. Schools are also accountable to parents and carers – they must publish information about their use of the Pupil Premium on their school website, and school performance tables show the performance of Pupil Premium eligible pupils compared with their peers.

Given that schools have autonomy over what they spend the Pupil Premium on, it is important that the Department has access to a reliable national picture of how Pupil Premium is being spent so that both the Department and individual schools can see whether the funding is reaching the intended pupils, what options there are for the use of the funding, and which of these options is likely to make the most difference. It is too early to answer all these questions in full, but this evaluation aims to at least start answering these questions.

1.2 Research objectives

The overarching aims of the evaluation were to answer the following questions:

- How have primary, secondary and special schools, and pupil referral units within the sample spent Pupil Premium funds?
- How do schools decide how to spend the Pupil Premium?
- Are there differences in the use of Pupil Premium funds between schools with different characteristics? (In particular are there differences between schools with high, medium and low proportions of FSM pupils?)
- What do schools perceive the impact of Pupil Premium funding to have been so far?
- What do schools plan to do with Pupil Premium funding in future years?

The case studies, due to their more detailed, qualitative nature, were able to question more thoroughly what schools were doing with the Pupil Premium.
1.3 Methodology

In order to meet the research objectives, a programme of research was designed and implemented. This involved four different strands: a scoping stage in five schools; a telephone survey of 1,240 schools; case studies of 34 schools; and analysis of NPD data. Details of these four strands are set out below.

1.3.1 Scoping stage

A scoping stage was conducted that involved short case studies of five schools. This stage was undertaken to gain an initial picture of how schools were responding to the Pupil Premium in order to inform design of the survey instruments and case study topic guide.

Five schools were selected. Although they could not be a representative sample, they were selected to ensure that they had a variety of characteristics in terms of phase, location and degree of disadvantage. Because of the time scale of the research, schools taking part in the scoping stage were already known to the research team. Together with the fact that these schools had to be ready to take part in the research at short notice at a busy time in the school year, this means that the sample consists of schools that were all concerned about addressing disadvantage.

Interviews took place during the second half of the summer term, 2012. The research team developed a semi-structured interview schedule and draft datasheet (to collect financial information), which were amended as the interviews progressed. Most schools were interviewed by two members of the research team.

Interviews were requested with the head teacher, the finance officer/bursar/business manager and a member of staff with particular knowledge of the provision for disadvantaged pupils. In some schools, a single member of staff was able to answer questions on more than one role; therefore, 11 members of staff were interviewed across the five schools.

Following the interview, a short report was drafted outlining the findings for that school, which was shared with the chief informant at the school. Reports were amended according to comments from the schools.
1.3.2 Quantitative survey of schools

Method
There were two stages to the survey of schools. Firstly schools were sent a datasheet which asked for detailed information about schools' budgets and their spending on helping disadvantaged pupils. Schools were then called for a 20 minute telephone survey. The first few minutes of the telephone survey were used to collect the information from the financial datasheet and the remainder focused on what support schools offered for disadvantaged pupils and perceptions of the Pupil Premium. The datasheet and questionnaire can be found in appendices 4 and 5.

Interviewers were briefed to talk to whoever at the school was able to answer questions about the use of Pupil Premium funding and the support provided for disadvantaged pupils. In many cases it was the Headteacher that responded to the survey, although they often asked a bursar, business manager or similar for help with completing the datasheet in advance of the interview.

During the scoping study and in the design of the evaluation, it became apparent that some schools were not treating the Pupil Premium as a separate funding stream, but were pooling it with other budgets used to support a wide range of disadvantaged pupils, including those eligible for the funding. Some schools might be able to say directly what they had spent the Pupil Premium on, but in other cases, the specific items funded with the Pupil Premium would not necessarily be defined separately in schools' financial data and so would be difficult to provide. Given these issues, the survey requested financial data about the support offered for pupils they view as ‘disadvantaged’ in more general terms than Pupil Premium eligibility, alongside information on which pupils they tended to include in this. This has allowed the study to generate robust findings on the funding of specific interventions and who tends to get them, but at the time it would have been difficult to use such a survey to disentangle the financial implications for Pupil Premium eligible pupils separate from peers given similar interventions, given the significant overlaps in support.

This means we know what interventions schools are using to support who they view as disadvantaged pupils, which pupils they target for this support, how much they spend on it, how this is evolving, and whether they are spending more than, less than, or exactly their Pupil Premium funding on providing support. We also asked schools about whether they would have to withdraw some types of support without the Pupil Premium, whether they had introduced new support as a result of it, and whether they were intending to introduce new types of support over the next year.

For ease, throughout this report the term ‘disadvantage’ is used in reference to the groups of pupils targeted by schools for the interventions discussed; as this research suggests, at the time of the survey this has not always been consistent with the group of pupils who are disadvantaged in terms of being eligible for Pupil Premium funding.
Response
A sample of schools was selected from EduBase: 3,155 schools were selected in total and 1,240 took part in the survey.

Response varied by type of school: higher response rates were achieved amongst primary schools and special schools than secondary schools and Pupil Referral Units (PRUs).

| Table 1.1 Outcomes and response rates for the telephone survey of schools |
|-------------------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                                 | All schools     | Primary schools | Secondary schools | Special schools |
| All selected sample                             | 3,155           | 1,478           | 1,304            | 208             | 165             |
| Completed interviews                            | 1,240           | 690             | 386              | 99              | 65              |
| Bad numbers<sup>10</sup>                        | 53              | 11              | 30               | 3               | 9               |
| No response after 30+ calls                    | 122             | 62              | 49               | 7               | 4               |
| Refusals & other unproductive outcomes         | 558             | 249             | 225              | 38              | 46              |
| Unresolved at end of fieldwork                 | 1,182           | 466             | 614              | 61              | 41              |
| Response rate on resolved sample               | 63%             | 68%             | 56%              | 67%             | 52%             |
| Response rate on all sample                    | 39%             | 47%             | 30%              | 48%             | 39%             |

The table below shows the responses for all schools that were asked to take part in the survey, broken down by type of school. As the table shows there was a high level of unresolved sample at the end of fieldwork – cases where schools had not said they were unwilling to take part, but where interviewers had not been able to make an appointment to complete the survey before the end of fieldwork. This was, at least in part, due to the datasheet – completing it could be time consuming for schools and so when interviewers called them they kept saying they had not completed the datasheet yet, but to call back another time. It was not that schools were unwilling to

<sup>10</sup> A 'bad number' is where the telephone number has not connected to the school (and no alternative number could be found) or where the school had closed down.
do it, they just were not able to find the time to do so within the survey fieldwork period. So, the response rate based only on resolved sample and excluding the 1,182 cases that were unresolved at the end of fieldwork (63%) is much higher than a response rate simply calculated as number of interviews over all selected sample (39%).

Although 1,240 schools responded to the survey, only a little over half had completed the datasheet with financial information. Some of the financial information collected by the datasheet could be imputed from other data sources (CFR returns, Pupil Premium allocations) if schools had not completed this, but some could not. The base size for analysis of financial information in chapter 3 is therefore variable, depending on whether data could be filled in from other sources, and lower than the base size for the survey.

Sample
The sample for the survey was drawn from EduBase, with additional information added from schools performance tables and other DfE databases to help inform sample design. Schools were considered eligible for the survey if they were maintained schools or academies in England that received any Pupil Premium funding in 2011-12. Primary schools, secondary schools, special schools and PRUs were selected separately. For primary schools and secondary schools, schools with higher levels of pupils eligible for FSM were disproportionately oversampled as these were of particular interest to the study.

Further details of sampling and weighting can be found in appendix 1, which also gives further details of the sample composition and how representative it is.

Timings
A small pilot was conducted in September 2012 to test the questionnaire. The main fieldwork was conducted from 4th October to 21st December 2012.

Qualitative case studies
In order to explore schools’ uses of the Pupil Premium in greater depth, a series of school case studies was undertaken between September 2012 and February 2013. 13 secondary schools (7 of which were academies), 16 primary schools, 1 all-through school, 2 special schools and 2 pupil referral units (PRUs) formed the sample. Schools were selected to reflect the diversity of school types on the following criteria:

- Rural, urban and seaside settings;
- Regional and local authority distribution (though with some weighting towards the research teams’ bases in the north east and north west);
- Levels of free school meals (FSM) entitlement;
- Ethnic composition;
- Levels of school performance in tests and examinations;
- Ofsted grades (though schools in special measures were excluded).

Within these criteria, a long list of schools was selected on the basis of convenience (principally, the school’s proximity to good travel links) and/or because the research teams had reason to believe the school would be likely to participate (for instance, because they had taken part in the survey and had already indicated their willingness). These schools were then invited to take part in the study. Initially, 68 schools were contacted, of whom 16 agreed to participate, 10 actively declined and 42 did not respond to either an initial invitation or a reminder. Other schools were then identified and contacted as required in order to meet the full range of sampling criteria. Of the schools which declined and offered a reason, the majority cited other pressures on their time. One participating school withdrew during the fieldwork process because of strategic discussions taking place about the school’s future viability. Further details of the sample are provided in appendix 3.

Fieldwork for the case studies was guided by a protocol (see appendix 2, where further details of the methodology are also provided). Schools were sent a list of organising questions and a copy of the finance data sheet in advance (unless they had completed this as part of the survey). Although the sample of interviewees varied with the type and structure of the school, it typically included the head teacher, the school business manager, the senior leader responsible for work on educational disadvantage (for instance the Inclusion Manager), and staff members managing relevant budgets. Interviews with ‘external’ stakeholders (such as governors and local authority officers) were held where they played a significant role in deciding how Pupil Premium funding should be used (though in reality nearly all decisions about the Premium were handled ‘in-house’). There was considerable variation in the length of fieldwork, but it tended to comprise an initial visit to secure a strategic overview of the school’s response to the Pupil Premium, leading to a second visit and follow-up telephone interviews where more detailed questions could be asked. Relevant documentary evidence was also collected where available, including the school’s account of its use of Pupil Premium funding on its website, and the latest Ofsted report on the school. Some schools were able to supply additional material such as internal reports on their use of the Pupil Premium, or detailed listings of the activities it funded.

Accounts of each school’s use of the Pupil Premium were prepared and were organised around the research questions set out in the protocol. These were returned to the head teacher for checking. Towards the end of the fieldwork, a seminar was held for participating schools in which the emerging findings were presented for validation. Nine participants from eight schools attended and confirmed the findings presented in this report, whilst drawing attention to the rapidly-changing
situation on the ground in terms of the national policy approach to the Pupil Premium, and the way its use was being accounted for by schools.

**Analysis of NPD data**

Extracts of the National Pupil Database (2011 data) were used to create school level data (both for all pupils, and pupils eligible for the Pupil Premium). This school level data has been used both to compare schools that took part in the survey to schools nationally (this can be seen in appendix 1), and to look for differences in survey responses for schools with different profiles in NPD data (although in the latter analysis, very few differences were found).

**1.4 Report layout**

This report presents findings from the telephone survey of schools, supplemented by the analysis of NPD data where possible, and the case studies. For quantitative data, where differences between schools with different characteristics are commented on, these are statistically significant differences (at the 95% confidence level) unless otherwise mentioned. Case study findings are presented as boxed text to differentiate them from quantitative findings.

Chapters 2 to 5 present the findings from the survey (including the finance datasheet) and case studies.

Chapter 6 presents vignettes of two mainstream schools and well as case study findings for PRUs and special schools (as these are somewhat different to mainstream schools and so their response to the Pupil Premium is also different in some respects).

Chapter 7 gives an overview of the key findings from the evaluation and discusses implications these might have for Pupil Premium policy and further research.

**1.5 Tables in this report**

Unless otherwise stated, figures shown in tables are column percentages. The columns will not always add up to 100, for several possible reasons: multiple responses are allowed at the question; answers such as ‘don’t know’ or ‘refused’ have been excluded from the table; or rounding of percentages might mean they add up to 99 or 101.

A* symbol in a table indicates a percentage that is less than 0.5 but more than zero.
2. Support offered for disadvantaged pupils

As well as the types of support that schools offer for disadvantaged pupils, this chapter looks at how schools define disadvantage and how they target support, whether they have encouraged families to register for FSM, and how effective they consider the types of support they offer to be. It also examines whether schools would be able to offer the same level of support without the Pupil Premium, and how the profile of support offered by schools would change if Pupil Premium funding was withdrawn.

As will be shown in section 3.3.1, many schools spent more than just Pupil Premium funding on supporting disadvantaged pupils, and the scoping stage and case studies found that schools tended to pool the Pupil Premium with other budgets in order to provide this support. In our evaluation we therefore asked schools about the support they provided for disadvantaged pupils (however they chose to define disadvantage) **whether this was funded by the Pupil Premium or by other sources**. Findings in this chapter are therefore not just about support that is funded by the Pupil Premium, but about all support that schools offer to pupils they consider to be disadvantaged.

Key findings:

- Schools tended to use a wide range of criteria to define disadvantage, not just FSM and looked after children.
- Most schools (91% of PRUs, 90% of special schools, 84% of primary schools and 78% of secondary schools) aimed their support at all disadvantaged pupils but a minority targeted specific groups or individuals – most commonly those with low attainment or not making good progress.
- Most primary and secondary schools (69% and 73% respectively) said the support they offered for disadvantaged pupils varied for different age groups.
- Over three-quarters of schools had encouraged families to register for FSM since the introduction of the Pupil Premium, although in most cases this was activity they would have undertaken anyway. However, when encouraging families to register for FSM most schools (80% of primary and secondary schools) did tell parents that this would increase the funding the school gets.
- The majority of schools were offering a wide range of different types of support to help disadvantaged pupils such as: additional support both inside and outside the classroom; additional staff; school trips; out of hours activities; provision of materials or resources; parental support; and support from specialist services. Primary and secondary schools with higher levels of disadvantaged pupils tended to offer more types of support.
- The types of support schools offered were determined by the needs of their pupils: the case studies found some schools with what appeared to be
sophisticated systems for assessing the needs of pupils that could also then be used for monitoring the effect of support.

- Almost all schools considered the types of support they were offering to be effective, but the type of support most consistently likely to be considered very effective was additional staff.

- Most schools (82% of PRUs, 70% of special schools, 66% of primary schools and 56% of secondary schools) would aim not to withdraw any of the types of support they offer if they did not have Pupil Premium funding but they would have to reduce the level of support offered. Where schools would have to withdraw support without the Pupil Premium, the most likely type of support they would withdraw would be additional staff.

2.1 How do schools define disadvantage?

While schools were aware of the criteria that made pupils eligible for the Pupil Premium, many did not restrict their support to just those pupils that were eligible for FSM (or had been in the last 6 years) and looked after pupils. This does not necessarily mean that schools were using Pupil Premium funding to support pupils that did not attract the funding (although the case studies showed that some schools were using it to support a wider group of pupils than just those that attracted the funding) as most schools were spending more than just their Pupil Premium funding on supporting disadvantaged pupils (as will be shown in section 3.3.1). Schools were asked to say, without being given predefined options, what criteria they used for defining disadvantage. Table 2.1 shows the responses given.

Almost all primary and secondary schools mentioned FSM (89% and 88% respectively), but this was not as commonly mentioned in special schools and PRUs (62% and 48% respectively). Less than half of schools mentioned looked after children, which may be associated with the fact that many schools will not have had any looked after children at the time of the survey.

As shown in table 2.1 a notable minority of schools said they used their knowledge of individual pupils and families to decide who was disadvantaged. This was more common in primary schools than secondary schools. SEN was a fairly common criterion but this was particularly important to special schools, half of which said they used this to define disadvantage. Special schools were also much more likely than other types of school to say they used social, emotional or behavioural issues as a criterion for defining disadvantage.

PRUs also tended to have a different focus – they were much more likely than other types of schools to say all their pupils are disadvantaged (21% said this) and also to use exclusion from mainstream schools as a criterion.
Low attainment or lack of progress was considered to indicate disadvantage in almost a third of secondary schools and this was also reasonably common in primary schools.

Many of the other measures of disadvantage cited related specifically to economic disadvantage: low income families, using IDACI or ACORN statistics, families in receipt of benefits, lone parent families, and families in poor accommodation. However, some were more situational: not having English as a first language, having a parent in the armed forces, or being the child of refugees or asylum seekers.

<table>
<thead>
<tr>
<th>Table 2.1 Criteria used by schools for defining disadvantage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary schools</td>
</tr>
<tr>
<td>(n=690)</td>
</tr>
<tr>
<td>%</td>
</tr>
<tr>
<td>Pupils eligible for FSM</td>
</tr>
<tr>
<td>Looked after children</td>
</tr>
<tr>
<td>Based on knowledge of pupils and families</td>
</tr>
<tr>
<td>Special Educational Needs (SEN)</td>
</tr>
<tr>
<td>Low attainment/lack of progress</td>
</tr>
<tr>
<td>Difficult family situations/lack of contact with parents</td>
</tr>
<tr>
<td>Children from low income families</td>
</tr>
<tr>
<td>Children from particular areas (e.g. based on ACORN or IDACI)</td>
</tr>
<tr>
<td>Families in receipt of specific state benefits</td>
</tr>
<tr>
<td>Children whose first language is not English</td>
</tr>
<tr>
<td>Lone parent families</td>
</tr>
<tr>
<td>Emotional, social or behavioural issues</td>
</tr>
<tr>
<td>Armed forces/military children</td>
</tr>
<tr>
<td>Refugee or asylum seeker children</td>
</tr>
<tr>
<td>Families in temporary or poor accommodation</td>
</tr>
<tr>
<td>All our pupils are disadvantaged</td>
</tr>
<tr>
<td>Physical disability/medical problem</td>
</tr>
<tr>
<td>Excluded from mainstream school</td>
</tr>
</tbody>
</table>
There were no differences between academies and maintained secondary schools in the criteria used to define disadvantage.

Like the schools responding to the survey, the case study schools tended to define disadvantage broadly. In some cases, although the definition was not restricted to entitlement to FSM, it contained a strong socio-economic element, but with the understanding that economic disadvantage had clear educational implications. For instance, one head teacher (in ILS1\textsuperscript{11}) saw entitlement to FSM as cross-cut by the consequences of overcrowding in local housing and by the difficulties local people faced in accessing employment:

> These aspects have a significant impact on the sorts of things we have to do at the school to bring down barriers to learning…[T]he correlation between the students that we help the most and their financial circumstances is very stark.

Whether economically-based or not, a focus on ‘barriers to learning’ (in various formulations) was the key to most schools’ definitions. As one head (WMS1) put it:

> I would say that it’s any young person that for whatever the reason is not enabled to reach their full potential.

Or, in the words of another (WMP1), the key question in determining whether children were disadvantaged or not was, “are they equipped for school and ready for learning?”

Often, this focus on all children who were experiencing difficulties arose out a deep commitment to serving all children and to being,

> an inclusive school…where you’re trying to do your best for every single student, no matter who they are…, and [Pupil Premium] is a funding stream which helps us do that.

(Assistant head, YHS1)

However, it also meant that schools were aware of a contradiction between the predominantly economic definition of disadvantage on the basis of which the Pupil Premium was allocated, and the educational definition of disadvantage with which they themselves operated. In the words of one primary head (YHP1)

\textsuperscript{11} In the accounts of case study findings, all schools are identified by a code which designates their government region (so, IL is inner London, OL is outer London, NW is North West, and so on), and the phase and type of schooling (so, P is primary, S is secondary, Sp is special).
there are children that get no funding through any form of deprivation indicator…who still have needs, both academically and socially.

As another argued:

We just teach children…I can show you some of the analyses we do retrospectively or concurrently to see how kids are getting on, but we don’t look for the stamp on the forehead that says, ‘You’re a poor person, and therefore you get this kind of provision.’…It’s the effectiveness of what we’re doing in terms of teaching and learning that is the determinant, not how many pounds they’ve got in their pockets.

(Head teacher, SWS1)

The implication was that the schools were using the available resources to develop responses to the ‘barriers to learning’ experienced by children rather than to formal categories of disadvantage such as entitlement to FSM. Some were confident that these resources included the Premium, and that this was justified as part of their commitment to do their best by all their pupils. As one head (in OLS1) put it:

I suppose all we need to know is that we are spending the money wisely, and in the best interests of the kids that we are in charge of. That’s what their parents and carers want, that’s what we want, and ultimately if the kids knew it – they’ll know it later in life – that’s what they want.

However, others were uneasy that this meant they were using some of their Pupil Premium funding for children who fell outside the categories by which it was allocated. As one head teacher (in WMP1) put it, the school “had to be brave” because “I know that’s not what it’s for, but that’s what we did.” At least one head (in NEP1) felt that he was obliged to make provision for pupils who attracted the Premium, regardless of their educational status. He therefore defined disadvantage in the terms of the criteria for Pupil Premium eligibility because that was the ‘official’ definition, but was uneasy about the consequences:

I honestly think there is a danger of these children being stigmatised, their families being stigmatised…[S]ome free school meals children are doing perfectly well academically, and de facto emotionally and socially they are probably competent as well…It’s hard to determine what these children need, because they’re doing well, they’re doing fine.

Awareness of which pupils attract the Pupil Premium

Case study schools were all aware of which pupils were entitled to FSM, though in some cases they were not aware of how to identify pupils who fell into the ‘Ever6’ category. They were also usually aware of a wide range of other factors which might act as barriers to learning, including whether pupils were looked after.
2.2 Targeting support

Most schools were targeting support at all pupils they considered to be disadvantaged, but a notable minority were targeting particular groups or individuals exclusively: 15% of primary schools, 21% of secondary schools, 6% of special schools and 9% of PRUs.

Amongst secondary schools, those with a low level of disadvantaged pupils were more likely to be targeting particular groups or individuals than those with higher levels of disadvantaged pupils: 26% of schools with a low level of FSM pupils\(^{12}\) were targeting particular groups or individuals, compared with 15% of schools with a medium level of FSM and 9% with a high level of FSM.

Where schools were targeting particular groups or individuals, it tended to be those with low attainment or those who were not making good progress, and pupils with SEN. Results for primary and secondary schools are shown in table 2.2 below\(^{13}\).

<table>
<thead>
<tr>
<th></th>
<th>Primary schools (n=103)</th>
<th>Secondary schools (n=65)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Those with low attainment</td>
<td>91%</td>
<td>88%</td>
</tr>
<tr>
<td>Those not making good progress</td>
<td>84%</td>
<td>86%</td>
</tr>
<tr>
<td>Those with SEN</td>
<td>76%</td>
<td>75%</td>
</tr>
<tr>
<td>Pupils whose first language is not English</td>
<td>59%</td>
<td>51%</td>
</tr>
<tr>
<td>Pupils from specific ethnic minority groups</td>
<td>51%</td>
<td>23%</td>
</tr>
<tr>
<td>Boys/girls</td>
<td>43%</td>
<td>24%</td>
</tr>
<tr>
<td>Particular age groups/classes</td>
<td>26%</td>
<td>32%</td>
</tr>
</tbody>
</table>

*Base: All primary schools and secondary schools that do not target support at all disadvantaged pupils (168)*

Where schools were targeting all disadvantaged pupils for support, the vast majority of primary and secondary schools (89% of each) had different types of support for higher and lower attainers. Over half of special schools and PRUs also had different

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\(^{12}\) For secondary schools, a low level of FSM pupils is classed as up to and including 13%, a medium level is more than 13% up to and including 35%, and a high level is more than 35%.

\(^{13}\) Results for special schools and PRUs are excluded as they were based on less than 10 schools.
types of support for higher and lower attainers (56% of special schools and 61% of PRUs).

All schools were also asked whether their support for disadvantaged pupils varied for different age groups. For 73% of secondary schools and 69% of primary schools their support did vary for different age groups. About half (52%) of special schools said their support varied for different age groups but only a quarter (25%) of PRUs varied their support for different age groups.

The small number of PRUs in the survey means this is not statistically significant, but larger PRUs tended to be more likely than smaller PRUs to have different types of support for different age groups.

As the survey found, schools’ practices for deciding how to target support were variable. The case studies show what appeared to be complex and, apparently, quite sophisticated, practices – and it may well be that schools found it difficult to capture all of their practices in response to the survey questions. The broad definitions of disadvantage used by schools meant that targeting was not simply a matter of identifying children who fell into particular categories. Instead, schools aligned their provision with the apparent needs of pupils in two ways. First, schools tended to take the view that certain kinds of needs were endemic in their populations and that provision to meet these needs should therefore be accessible to many. For instance, one secondary school (NWS1) put considerable emphasis on offering enrichment activities and ensuring that children from poorer families were able to access these, on the grounds that they were offered few activities of this kind in their homes and communities. Another, (ILS1) serving a predominantly minority ethnic and highly disadvantaged area, put a good deal of effort into working with parents and the local community, on the grounds both that many of its pupils’ problems stemmed from their home background and – more positively – that there were untapped resources in the community.

However, all the case study schools also had systems for assessing individual pupils so that they could identify and target those facing the greatest difficulties – both by ensuring that they made use of the open-access provision and by putting together customised packages of provision. The head of primary school YHP1 articulated a position that was common:

_In our school we look at any child who isn’t achieving to the level you would expect for their age, so whatever need in whatever area that might be – whether it’s self-esteem, whether it’s the arts, whether it’s reading or writing – we look at individual pupil need…It’s not just free school meals._

Much depended in these individual assessment processes on the personal knowledge of those staff that were in daily contact with children. As one vice principal (of NWS1) put it, “we know them inside out”. However, this personal knowledge was
supplemented, as YHP1’s head implies, by regular monitoring of pupil performance data, and, in many schools by evidence-based assessment procedures for identifying which children needed which provision. These systems appeared to be quite sophisticated, though it was beyond the scope of the evaluation to observe them in action. For instance, one secondary school (NES2) had undertaken a series of case studies of underachieving pupils across the year groups, based on lesson observation, scrutiny of pupils work, and pupil interviews. Another (SWS1) had created its own framework of ‘need’ indicators, against which all children were assessed and given a ‘score’. This could also be used to measure progress.

In a primary school (NWP1) the ‘Support SENCO’ (Special Educational Needs Co-ordinator) who has sole responsibility for the Pupil Premium and Equality, had drawn up a chart, mapping children against a set of indicators of disadvantage (for instance, young carers, bereaved children, children from families earning just above the FSM threshold, children on the child protection register, and so on). He then also monitored their well-being through a range of specific measures – for instance, had they eaten breakfast; did they have appropriate outdoor clothing; if homework had not been completed, was there anything happening at home to prevent this? Drawing on his observations and the information he obtained, he was able to develop a set of comprehensive ‘case notes’ for each child. In this, as in many other cases, the capacity of schools to ‘know’ their pupils was striking.

2.3 Encouraging FSM registration

Although schools define disadvantage more widely, Pupil Premium funding is allocated to schools on the basis of pupils that are registered for free school meals (or have been recorded as eligible for free school meals in the last six years)\textsuperscript{14}. However, it is a widely acknowledged issue that not all families who are entitled to free school meals apply for them\textsuperscript{15}. If entitled families do not apply then pupils cannot be registered for free school meals and schools will get not Pupil Premium funding for those pupils. Steps have been taken recently to make registration easier, streamlining the application process and developing an online FSM Eligibility Checking Service. The Department’s website also encourages schools to encourage families to register for FSM so that the school might increase its Pupil Premium

\textsuperscript{14} The Pupil Premium is also given to schools for pupils that are looked after, but these pupils make up a very small proportion of those that are eligible for the Pupil Premium.

\textsuperscript{15} In November 2012, the Government published a research report, “Pupils not claiming free school meals”. The report looked at take-up of FSM by different local authorities and found registration ranges between 67\% and 100\%, with around 14\% of the 1.4 million children aged 4-15 in England entitled to receive FSM not claiming them.
allocation and suggests telling parents that registering their child for FSM will bring more money to the school.\textsuperscript{16}

The majority of schools had done something to encourage more families to register for FSM since the introduction of the Pupil Premium, and primary schools were more likely than special schools or PRUs to have done this. In most cases schools said this was activity they would have undertaken anyway, although a minority said they had encouraged FSM registration because of the Pupil Premium. Secondary schools and special schools were more likely than primary schools to have undertaken this activity because of the Pupil Premium.

When encouraging families to register for FSM the majority of primary, secondary and special schools said they had told parents that registering for FSM would increase the funding the school gets. Much fewer PRUs (47\%) said this. These results are shown in table 2.3.

Case study findings showed that, although schools were putting effort into encouraging families to register for FSM, there was frustration that some families felt the stigma of doing so was too great for them to face. Elsewhere, there were reports that other families did not trust schools to provide meals that were prepared in accordance with families’ religious customs. Other schools were reluctant to publicise the Pupil Premium in case it seemed unfair to other families who might also be struggling economically but whose children were not eligible for the Pupil Premium, or in case it provoked parents to ask the school to spend the amount of Premium funding attracted by a child on that child alone. For all of these reasons, some schools may have been missing out on funding that they would otherwise receive.

\begin{table}[h]
\centering
\begin{tabular}{|c|c|c|c|}
\hline
\textbf{Whether schools had encouraged families to register for FSM since the introduction of the Pupil Premium, whether they had done this because of the Pupil Premium, and whether they had told parents that registering for FSM would increase the school’s funding} & \textbf{Primary schools} & \textbf{Secondary schools} & \textbf{Special schools} & \textbf{PRUs} \\
\hline
% & % & % & % \\
(n=690) & (n=386) & (n=99) & (n=65) \\
\hline
Encouraged families to register for FSM & 88 & 84 & 78 & 75 \\
(n=330) & (n=80) & (n=47) & \\
\hline
\end{tabular}
\caption{Table 2.3 Whether schools had encouraged families to register for FSM since the introduction of the Pupil Premium, whether they had done this because of the Pupil Premium, and whether they had told parents that registering for FSM would increase the school’s funding}
\end{table}

\textsuperscript{16} http://www.education.gov.uk/schools/pupilsupport/premium/b00200056/increasing-registrations-for-free-school-meals-and-the-pupil-premium
2.4 Types of support offered by schools

Schools were asked to say, from a pre-defined list of 11 different types of support, which types of support they offered for disadvantaged pupils. As mentioned at the start of this chapter, this is all support they were offering whether it was funded by the Pupil Premium or through other sources. The proportions offering each type are shown in table 2.4.

Almost all schools offered additional support both inside and outside the classroom, as well as having the additional staff to help support this. Supporting disadvantaged pupils with curriculum-related school trips or the provision of materials or resources were also very common in all schools.

Out of hours activities were very common in primary, secondary and special schools, but a little less so in PRUs. PRUs had a particular focus on providing alternative learning pathways, although this was also common in secondary and special schools. Summer schools were rare in primary schools and PRUs, but fairly common in secondary schools and special schools. Secondary schools were the most likely to reduce class sizes to support disadvantaged pupils.

Table 2.4 also shows the average number of these 11 different types of support being offered. Secondary schools offered, on average, 9.3 of these 11 different types of support, which was more than any other school type. Primary schools, on average, offered the least number of different types of support – although they still offered 8 out of these 11.

For primary schools, larger schools tended to offer a greater number of these types of support than smaller schools.
Table 2.4  Types of support offered for disadvantaged pupils

<table>
<thead>
<tr>
<th></th>
<th>Primary schools</th>
<th>Secondary schools</th>
<th>Special schools</th>
<th>PRUs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(n=690)</td>
<td>(n=386)</td>
<td>(n=99)</td>
<td>(n=65)</td>
</tr>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>Additional support outside the classroom</td>
<td>99</td>
<td>98</td>
<td>91</td>
<td>99</td>
</tr>
<tr>
<td>Additional support inside the classroom</td>
<td>98</td>
<td>91</td>
<td>90</td>
<td>89</td>
</tr>
<tr>
<td>Additional staff</td>
<td>98</td>
<td>96</td>
<td>91</td>
<td>91</td>
</tr>
<tr>
<td>Curriculum related school trips</td>
<td>95</td>
<td>94</td>
<td>92</td>
<td>89</td>
</tr>
<tr>
<td>Out of hours activities</td>
<td>87</td>
<td>92</td>
<td>86</td>
<td>71</td>
</tr>
<tr>
<td>Provision of materials or resources</td>
<td>84</td>
<td>93</td>
<td>85</td>
<td>92</td>
</tr>
<tr>
<td>Parental support and engagement</td>
<td>86</td>
<td>81</td>
<td>90</td>
<td>95</td>
</tr>
<tr>
<td>Support from specialist services</td>
<td>82</td>
<td>88</td>
<td>86</td>
<td>85</td>
</tr>
<tr>
<td>Alternative learning pathways</td>
<td>31</td>
<td>80</td>
<td>79</td>
<td>92</td>
</tr>
<tr>
<td>Reducing class sizes</td>
<td>28</td>
<td>53</td>
<td>35</td>
<td>41</td>
</tr>
<tr>
<td>Summer schools</td>
<td>15</td>
<td>67</td>
<td>41</td>
<td>11</td>
</tr>
</tbody>
</table>

Average number (out of these 11) being offered 8.0 9.3 8.7 8.6

Base: All schools that took part in the survey (1,240)

Some schools also spontaneously mentioned other types of support they were providing. The most common of these were music and drama (10% of special

17 e.g. one-to-one tutoring, small group teaching
18 e.g. teaching assistants, extra teachers, learning mentors, family support workers
19 e.g. breakfast clubs, after school and holiday clubs, homework clubs, sports and leisure activities
20 e.g. educational psychologist, counsellor, health worker
21 e.g. arrangements with local FE colleges, other schools or providers
22 It is possible that some schools were offering summer schools using the separately funded summer schools programme – our questionnaire did not ask about this.
schools, 7% of primary schools, 5% of secondary schools, and 2% of PRUs), and residential trips (4% of primary schools and special schools, 2% of secondary schools and no PRUs).

The number and types of support that schools were providing varied by school characteristics – these differences are set out below.

### 2.4.1 Differences for schools with different levels of FSM pupils

For primary schools, there were some differences dependent on the proportion of disadvantaged pupils in the school. Schools with a high level of FSM pupils\(^{23}\) were more likely to offer support from specialist services (such as educational psychologists, counsellors and health workers) than schools with a medium or low level of FSM pupils (89% compared with 83% and 80% respectively). Primary schools with higher levels of FSM pupils were also much more likely to reduce class sizes: 47% of primary schools with a high level of FSM pupils were doing this, dropping to 34% amongst primary schools with a medium level of FSM pupils and 22% amongst those with a low level of FSM pupils. Out of hours activities were also more commonly offered by primary schools with a high level of FSM pupils than those with a low level (95% compared with 85%). The same was true for summer schools (26% compared with 11%), and the same trend also existed for parental support and engagement, and alternative learning pathways.

In general, primary schools with higher levels of FSM pupils offered more types of support on average. Primary schools with high levels of FSM pupils offered 8.7 of the 11 types of support on average, those with medium levels of FSM offered 8.2, and those with low levels of FSM offered 7.8 on average.

Some similar trends were visible for secondary schools. Secondary schools with high and medium levels of FSM pupils\(^{24}\) were more likely to have reduced class sizes than those with a low level (71% and 66% respectively compared with 42%). Similarly for out of hours activities, these were offered by 100% of secondary schools with a high level of FSM pupil and 98% with a medium level, compared with 87% of secondary schools with a low level of FSM pupils. There was a big difference for summer schools: these were offered by 91% of secondary schools with a high level of FSM pupils, dropping to 77% of those with a medium level, and 57% of those with a low level of FSM pupils.

Secondary schools with high and medium levels of FSM generally offered more types of support: those with a high level of FSM offered 10 of the 11 types of support on average.

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\(^{23}\) For primary schools, a low level of FSM pupils is classed as up to and including 20%, a medium level is more than 20% up to and including 35%, and a high level is more than 35%.

\(^{24}\) For secondary schools, a low level of FSM pupils is classed as up to and including 13%, a medium level is more than 13% up to and including 35%, and a high level is more than 35%.
average, and those with a medium level offered 9.9 on average, compared with 8.8 amongst secondary schools with a low level of FSM pupils.

2.4.2 Differences for schools with different proportions of SEN pupils

For primary schools there was also a difference relating to the proportion of pupils in the school with SEN (either statemented SEN or School Action Plus). Amongst primary schools where 10% of pupils or more had SEN, 40% had reduced class sizes; this dropped to 26% amongst schools with between 5% and 10% of pupils with SEN, and 13% amongst primary schools where less than 5% of pupils had SEN.

Amongst secondary schools, those with higher proportions of SEN pupils appeared to be more likely than those with lower proportions of SEN pupils to offer many of the types of support. This included additional support inside the classroom, additional staff, support from specialist services, reducing class sizes, out of hours activities, summer schools, parental support and engagement and alternative learning pathways. However, most of the differences were not big enough to be statistically significant. What was significant was schools with less than 5% of pupils with SEN offering 8.3 of the 11 types of support on average, compared with 9.7 types of support on average for secondary schools with at least 5% of pupils with SEN.

2.4.3 Differences for schools in urban and rural areas

Primary schools in urban areas also tended to offer more types of support than those in rural areas: 8.2 on average in urban areas compared with 7.5 on average in villages and hamlets.

The differences above are all linked, as primary and secondary schools with higher levels of FSM pupils also tend to have higher levels of pupils with SEN. In fact, FSM pupils are more likely than other pupils to have SEN. Also, schools in urban areas tend to have higher levels of FSM pupils than schools in rural areas.
2.4.4 Differences for schools with lower attainment

Primary schools where fewer pupils were meeting expected levels at KS2 also tended to offer more types of support than those where most pupils were meeting expected levels. For example, primary schools where less than 70% of pupils achieved the expected level on their KS2 English test offered, on average, 8.5 of the 11 types of support, compared with an average of 8.0 amongst primary schools where at least 70% of pupils achieved the expected level on their KS2 English test.

As discussed in section 2.2, schools were using their assessment of pupils' needs to determine the types of support that should be targeted at different pupils. In the light of this it is not surprising that, in line with the survey findings, case study schools tended to offer an array of provision to address the multiple forms of disadvantage they believed to impact on their pupils. One secondary school (SES2), for instance, with a moderate level of around 10% FSM entitlement, offered the services of an inclusion and attendance officer, an English as an Additional Language consultant, an inclusion unit providing alternative curriculum and anger management courses, a range of extra-curricular activities, in-class teacher and TA support, and revision classes for older pupils, as well as an explicit focus on ‘vulnerable’ pupils in class, and funding for pupils from poorer families so that they can participate in all school-related activities.

The array of provision in primary schools was often scarcely less extensive. For instance one school (YHP1) offered reading interventions, social development groups, speaking and listening groups, learning mentors, a home-school development worker, a parental support worker, a parenting programme, and a series of intervention groups running during the school day to respond to diverse needs. Even a primary school with low levels of deprivation – such as YHP2, with only 3% of children entitled to FSM – was likely to have multiple forms of provision, including learning interventions, enrichment activities, a learning mentor, and the capacity to develop customised packages for individual children by buying in specialist support.

Entirely consistently with the way they defined disadvantage, schools tended to see all the forms of provision established to meet different kinds of needs and difficulties as part of their response to disadvantage. In particular, schools counted their SEN provision as part of their provision for disadvantage and saw their learning interventions and social and emotional development provision as part of the same overall array. Overall, it was common to have some mixture of learning interventions, additional support from TAs and (occasionally) teachers, some means of intervening in social and emotional difficulties, and some form of outreach to parents.
However, because schools had what appeared to be more or less sophisticated forms of pupil assessment, the precise array of provision they made, though diverse, was typically based on an understanding of what the needs in the population were and how provision might be expected to meet those needs. At an individual level, this was simply a matter of matching an apparent need with an appropriate intervention—such as reading interventions for children whose reading was weak, or behavioural interventions for children whose behaviour interfered with their learning. However, as we have seen, schools also believed that certain needs were endemic in the populations they served, and therefore built provision around an assessment of how those needs might best be met. For instance, one primary head (of WMP1) argued that many parents were stressed, wary of school, and, because of the poverty they experienced, unable to offer a wide range of experiences to their children. She therefore invested heavily in home visits, joint social activities for parents and children, and enrichment activities for children. Another school (in NEP3) had undertaken a whole-staff exercise to explore what they expected a successful pupil to 'look like'. This had concluded that, in addition to basic skills, their pupils urgently needed to develop confidence and emotional literacy. As a result, the curriculum was planned around these aims and provision for disadvantaged pupils included emotional literacy groups run by TAs, after-school enrichment activities, and a dedicated room in which an inclusion mentor and TAs created a supportive atmosphere to work on emotional issues.

Although all schools had forms of provision that were directly aimed at raising attainment, the analyses of individual and population needs often led them to the conclusion that they needed to address other kinds of issues in children’s (and sometimes their families’ and communities’) lives in order to enable children to do as well as they could. As the head of NEP3 put it:

*If we taught to the test, we’d be turning off these kids big-style!*

This might also mean that schools put their faith in forms of provision that were not strongly supported by research evidence from elsewhere, as presented, in particular, in the *Pupil Premium Toolkit*. In addition to investing in social and enrichment activities, for instance, the head of WMP1 had invested in additional staffing in order to split a class. The research evidence for the effectiveness of reducing class sizes may not be strong, but in this case, the head had a rationale that was specific to the circumstances of the school. Attainments in the class were poor, and the head’s evidence suggested that “they were children that had lost their confidence”. By splitting the class, it was possible to focus intensively on the most vulnerable children. As the head explained:

*They were quite afraid – ‘I can’t do it, I haven’t got a voice, I don’t want to talk, I don’t want to put my hand up, I don’t want to have a go. But the change in some of those students by the end of the year! That’s what we need to do, use [the Pupil Premium] to make our classes smaller, to give the students a voice.*
Secondary school NWS1 likewise was able to offer a clear rationale for spending some of its funding on matters that at first sight appeared unrelated to attainment. It had a strict uniform policy on the grounds that this gave its pupils pride in their school and in themselves. However, some pupils from the poorest families came to school without the correct uniform or equipment. The school therefore used some of its Premium funding to buy them what they needed. Its rationale was that its uniform policy was important, but that it was also important that the most vulnerable pupils should be in school. Spending money in this way, it believed, was a good way of reconciling these two principles.

Just as some schools were confident about their definitions of disadvantage and their use of Premium funding for a wide range of children, so they were confident that they could offer a convincing justification for their decisions about what provision to make, when they were called to account. Whilst they were aware of external guidance and imperatives, they tended to see these as only partially relevant to their situations. Indeed, we came across no cases where schools were using the Toolkit or any other external source as a definitive guide as to what they should do. In some cases this may have been because awareness of external guidance was only sketchy. However, in other cases, it was because schools felt the generalised guidance that was available was not well matched to their situations. As one head (in OLS1) argued, the Pupil Premium Toolkit was:

being put about as if ‘these are good, these are bad’, but when you look at it in more detail, some of them – it says itself – the evidence isn’t that great, and also it talks about ‘your own context’.

One primary head (in SWP1), likewise, pitted her commitment to the use of TAs against what she saw – rightly or wrongly – as the government’s position:

I know the argument is that the government will say that teaching assistants don’t make a difference, but teaching assistants will make a difference if they are properly trained and skilled up to do the job. Some of my teaching assistants are perfectly capable of being teachers. They are qualified enough, educated enough.

However, whilst some schools were confident in following their own judgments, others felt that doing so left them exposed, and were anxious about how to reconcile their conviction that their approaches were necessary with what they saw as external imperatives to restrict themselves to ‘approved’ interventions. The school above which worked on emotional literacy (NEP3), for instance, was achieving national averages, despite serving a highly disadvantaged population, and was rated ‘good’ by Ofsted. However, just as the head of WMP1 felt that she “had to be brave” about using Premium funding for a wide group of pupils, so this head felt that focusing on these issues took “a lot of courage”, given external imperatives to focus on attainment.
The recent Ofsted report on the use of the Pupil Premium, in particular, had raised anxieties in some quarters. One school (WMS1) reported that it had “unnerved people” and was causing them to think about focusing their approach more narrowly on pupils entitled to FSM for accountability purposes. Similarly, the Support SENCO (in NWP1) was anxious about how to justify his school’s approach to Ofsted. The school was already felt to have good academic interventions in place for all children, and so had, distinctively, used the Pupil Premium specifically to address the pastoral needs of children entitled to FSM. However, he was concerned that other children who did not fall within the FSM category should also be able to have their pastoral needs met, and indeed recognised that some may have greater needs than those being targeted. He was, though, worried about how this would play with Ofsted:

*I would like to have the confidence of my convictions to be able to say to Ofsted I’ve not spent the [Pupil Premium] money on the FSM children but I have spent it on these other children:. For instance, we have a child who has just been taken out of mum’s care and put with dad because of protection issues, and that child is very low and not performing well and I could spend some money on activities which would raise her morale – but money in that instance isn’t an issue, so it’s how you justify it. That’s a big problem, and that pastoral support doesn’t correlate with attainment.*

In this situation, schools tended to ensure that, when they were asked to do so, they could account for their use of the Premium in terms of raising the attainments of pupils entitled to FSM. Since all schools had some forms of provision that were focused in this way, and since the Premium was one source of funding that supported such provision, they had no difficulty in doing this. However, schools tended to pool Premium funding with other funds to support a wide range of provision, and therefore these accounts did not fully reflect what they were doing to tackle disadvantage, how these efforts were resourced, or the actual impact of the Premium on their provision. A few heads were open about creating accounts purely for external consumption whilst pursuing what they regarded as a broader and principled approach to responding to disadvantage within the school.

### 2.5 Effectiveness of support

For each type of support schools were offering, they were asked how effective they thought it was. The questionnaire suggested that support might be considered effective if it had any positive impacts on disadvantaged pupils or families whether these were easily measurable impacts like raising attainment, or less tangible impacts like pupils being happier or more confident.

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For each of the 11 types of support, the vast majority (over 90% and, for most types of support, over 95%) of schools offering it thought it was either very or fairly effective. This is to be expected as schools would be unlikely to offer support they did not think was effective. Table 2.5 therefore just shows the proportion of schools that thought each type of support was very effective.

Additional staff were most consistently thought to be very effective (by around three-quarters or more of each type of school), and summer schools were least likely to be considered very effective.

Additional support outside the classroom was considered very effective by at least 60% of each type of school. Additional support inside the classroom was highly rated by primary schools, special schools and PRUs but only 41% of secondary schools considered this very effective. A similar pattern was seen for curriculum related school trips: 51% of secondary schools considered these very effective, compared with 67% or more of other school types.

Alternative learning pathways or curricula were considered very effective by a high proportion of secondary schools, special schools and PRUs (61% or more), but only 28% of primary schools.

<table>
<thead>
<tr>
<th>Table 2.5 Proportion of schools that thought each type of support they offered was very effective&lt;sup&gt;26&lt;/sup&gt;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary schools</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>%</td>
</tr>
<tr>
<td>Additional support outside the classroom</td>
</tr>
<tr>
<td>Additional support inside the classroom</td>
</tr>
<tr>
<td>Additional staff</td>
</tr>
<tr>
<td>Curriculum related school trips</td>
</tr>
<tr>
<td>Out of hours activities</td>
</tr>
<tr>
<td>Provision of materials or resources</td>
</tr>
<tr>
<td>Parental support and engagement</td>
</tr>
<tr>
<td>Support from specialist services</td>
</tr>
<tr>
<td>Alternative learning pathways</td>
</tr>
</tbody>
</table>

<sup>26</sup> A ‘–’ symbol means data not included as based on less than 50 schools.
Reducing class sizes  & 67 & 56 & - & -  
Summer schools  & 30 & 42 & - & -  

*Base: Variable - schools that offered each type of support (between 462 and 1,196)*

It is hardly surprising that the survey found that most schools thought the support they were offering was effective. However, the case studies suggest that this was not simply a matter of schools placing faith in their own judgments. As the survey found (see section 5.3), schools had systems for monitoring the impacts of what they did. In particular, the apparently sophisticated systems that case study schools had for identifying disadvantaged children and their needs could be used for monitoring how successful provision was, in enabling children to do better.

In relation to attainment, schools were able to quantify the impacts of what they did. Typically, they reported that they were able to disaggregate performance data for various sub-groups of pupils so that they could see the overall trend of whether attainment gaps between groups were narrowing. In addition, they could monitor the progress of pupils on a range of indicators, as they benefited from different forms of provision. However, since the aims of provision were often not restricted to an immediate impact on attainment, schools developed other means of assessing whether their provision was making a difference. One secondary school (ILS1) presented the research team with a lengthy and data-rich evaluation report demonstrating the effects of Pupil Premium-funded interventions. Another (OLS1) presented a set of detailed pupil case studies, setting out the problems each pupil had presented, the interventions that had been used, and the progress that had been made. Similarly, a primary school (YHP2) with low levels of FSM entitlement was able to produce case studies of pupils who had accessed different forms of provision, quantifying progress in relation to each intervention where possible, and collecting more qualitative evidence where this was not possible.

In some schools, there was evidence that there was a feedback loop from the monitoring of effectiveness to the development of provision. One secondary head (in NES1), for instance, reported how:

*We found very early on as a school that we were exceptionally good at doing one-to-one, and we were held up as a real example – and it made absolutely no difference to pupil progress! We don’t do one-to-one any more at all, we do one-to-two, one-to-three, and we find that the intellectual conversations that are happening in those groups are much better and much more valuable.*

Moreover, feedback on individual pupils tended to be used to shape and reshape the packages of interventions that were offered to them. Since pupil performance was
monitored regularly (on a fortnightly basis in OLP1, for instance), schools were able to fine-tune provision to match pupils’ progress or emerging problems.

Schools’ efforts at establishing effectiveness often appeared robust, though it was beyond the scope of this evaluation to test this in any depth. However, the schools that had anxieties about justifying their approaches externally also tended to have anxieties about whether their monitoring systems would be found acceptable. This was particularly the case where schools’ approaches focused on outcomes other than immediate gains in attainment. As the Support SENCO in NWP1 explained:

_The problem is it’s hard to show pastoral impact against attainment. If there are issues at home, if they haven’t had breakfast, they won’t achieve as well and there’s lots of studies on this which don’t need my endorsement, but in terms of being able to clearly say does this impact on attainment, I can’t clearly say. It’s not measurable, which DfE won’t like. But I have to catch it before it happens. I can’t wait to say ‘There’s this dip, this child is underachieving, is that because of a pastoral issue?’ I want to intervene in that before that dip’s even happened._

As the head of SWP1 put it more succinctly, “We can measure their progress in learning, but…emotional progress is something else!” Once again, therefore, the tension was between schools’ own, more or less well-founded practices and their perception that there was a set of external imperatives with which they were required to comply.
2.6 Would support be withdrawn without the Pupil Premium?

All schools were asked whether there were any types of support they were currently offering that they would not be able to offer without the Pupil Premium. Only a minority of schools said they would continue offering the same support (at the same level) without the Pupil Premium, although this was more common amongst PRUs than other schools. Around half or more said they would continue to offer all the same types of support, but at a reduced level without the Pupil Premium. Secondary schools were more likely than other schools to say they would have to stop offering some types of support without the Pupil Premium, PRUs were least likely to say they would have to do this. As elaborated by the case study findings in chapter 6, the situation for PRUs is quite different, some do not hold their own budgets and so do not directly get Pupil Premium funding, they are also more likely than other types of schools to think that all their pupils are disadvantaged (as shown in section 2.1) and therefore everything they do is to help disadvantaged pupils. This helps explain why PRUs are more likely than other schools to say they would not have to reduce their support for disadvantaged pupils without Pupil Premium. These results are shown in table 2.6.

The case study schools also tended to report that they would not be able to continue offering the same level of support without the Pupil Premium (as shown in section 3.4). However, as the case studies illustrate, the way schools fund their provision is often from pooled budgets rather than funding specific types of provision from different budgets. That a minority of schools say they would continue to offer the same level of support without the Pupil Premium should therefore not be taken to mean that these schools do not find the Pupil Premium useful. Instead, it suggests that their commitment to helping disadvantaged pupils is such that they would aim to find a way to fund it without the Pupil Premium.

Primary schools with higher levels of disadvantaged pupils were more likely to say they would have to stop offering some types of support without the Pupil Premium than those with lower proportions of disadvantaged pupils: 49% of primary schools with a high level of FSM pupils and 47% of those with a medium level said they would have to stop offering some types of support, compared with 26% of those with a low level of FSM pupils. The same trend appeared for special schools, although the difference was not statistically significant.
Table 2.6  Whether schools would have to reduce support for disadvantaged pupils without the Pupil Premium

<table>
<thead>
<tr>
<th></th>
<th>Primary schools (n=690)</th>
<th>Secondary schools (n=386)</th>
<th>Special schools (n=99)</th>
<th>PRUs (n=65)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Yes – would not be able to offer some types of support without Pupil Premium</strong></td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td><strong>Would still offer all types of support but at a reduced level</strong></td>
<td>34</td>
<td>42</td>
<td>27</td>
<td>15</td>
</tr>
<tr>
<td><strong>No – would continue to offer all support at the same level without Pupil Premium</strong></td>
<td>56</td>
<td>51</td>
<td>63</td>
<td>52</td>
</tr>
<tr>
<td><strong>Don’t know</strong></td>
<td>*</td>
<td>2</td>
<td>3</td>
<td>3</td>
</tr>
</tbody>
</table>

*Base: All schools that took part in the survey (1,240)*

Amongst schools that said there were some types of support that they would not be able to offer without the Pupil Premium, the type of support they would be most likely to withdraw was additional staff (63% of primary schools and 61% of secondary schools). It is interesting to note that additional staff were also most consistently considered to be a very effective form of support. This suggests that decisions about which types of support to withdraw if funding were reduced cannot necessarily be based on which types are considered most effective. Additional staff are generally a fairly costly way to help disadvantaged pupils, so it is possible that schools were basing their answers on cost.

Additional support outside the classroom, out of hours activities, and reduced class sizes were also reasonably likely to be withdrawn without the Pupil Premium. Secondary schools were also quite likely to not be able to offer summer schools without the Pupil Premium. These results are shown, for primary and secondary schools, in table 2.7. Results for special schools and PRUs are not included as these would be based on very small numbers (only 27 special schools and 13 PRUs were asked this question).
Table 2.7 Types of support that schools would no longer be able to offer if they did not have Pupil Premium funding

<table>
<thead>
<tr>
<th></th>
<th>Primary schools (n=307)</th>
<th>Secondary schools (n=168)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional support outside the classroom</td>
<td>42%</td>
<td>40%</td>
</tr>
<tr>
<td>Additional support inside the classroom</td>
<td>23%</td>
<td>21%</td>
</tr>
<tr>
<td>Additional staff</td>
<td>63%</td>
<td>61%</td>
</tr>
<tr>
<td>Curriculum related school trips</td>
<td>19%</td>
<td>19%</td>
</tr>
<tr>
<td>Out of hours activities</td>
<td>35%</td>
<td>34%</td>
</tr>
<tr>
<td>Provision of materials or resources</td>
<td>17%</td>
<td>22%</td>
</tr>
<tr>
<td>Parental support and engagement</td>
<td>16%</td>
<td>11%</td>
</tr>
<tr>
<td>Support from specialist services</td>
<td>22%</td>
<td>16%</td>
</tr>
<tr>
<td>Alternative learning pathways</td>
<td>7%</td>
<td>18%</td>
</tr>
<tr>
<td>Reducing class sizes</td>
<td>23%</td>
<td>41%</td>
</tr>
<tr>
<td>Summer schools</td>
<td>8%</td>
<td>42%</td>
</tr>
</tbody>
</table>

Base: All primary and secondary schools that said there were types of support they could not offer without Pupil Premium (475)

An alternative way to look at this is in charts 2.8 and 2.9 which show, for primary schools and secondary schools, the proportion of schools that were offering each type of support and would continue to offer it without the Pupil Premium, the proportion that currently offer each type of support but would not be able to offer it without the Pupil Premium, and the proportion not currently offering that type of support. The proportion of schools that currently offer support but would not be able to without the Pupil Premium can be regarded as a measure of the ‘additionality’ of Pupil Premium funding.

As chart 2.8 shows, the profile of support offered by primary schools would change without the Pupil Premium. At the time of the survey, 98% of primary schools were offering additional support both inside and outside the classroom, and had additional staff to support disadvantaged pupils. Without the Pupil Premium 91% would still offer additional support inside the classroom, but only 84% would be able to offer
additional support outside the classroom, and only 76% would have additional staff to support disadvantaged pupils. Without the Pupil Premium, out of hours activities would also be reduced from being available in 87% of primary schools, to being available in 75% of primary schools.

Other types of services would have a smaller reduction, but would still be offered in fewer primary schools without Pupil Premium funding.

![Chart 2.8 Support offered by primary schools and whether it would still be offered without Pupil Premium](chart)

<table>
<thead>
<tr>
<th>Service</th>
<th>Offer now and would offer without Pupil Premium</th>
<th>Offer now, could not offer without Pupil Premium</th>
<th>Do not offer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional support outside the classroom</td>
<td>84%</td>
<td>14%</td>
<td>2%</td>
</tr>
<tr>
<td>Additional support inside the classroom</td>
<td>91%</td>
<td>8%</td>
<td>2%</td>
</tr>
<tr>
<td>Additional staff</td>
<td>76%</td>
<td>21%</td>
<td>2%</td>
</tr>
<tr>
<td>Curriculum related school trips</td>
<td>88%</td>
<td>7%</td>
<td>5%</td>
</tr>
<tr>
<td>Out of hours activities</td>
<td>75%</td>
<td>12%</td>
<td>13%</td>
</tr>
<tr>
<td>Provision of materials or resources</td>
<td>79%</td>
<td>6%</td>
<td>16%</td>
</tr>
<tr>
<td>Parental support and engagement</td>
<td>81%</td>
<td>6%</td>
<td>14%</td>
</tr>
<tr>
<td>Support from specialist services</td>
<td>74%</td>
<td>7%</td>
<td>19%</td>
</tr>
<tr>
<td>Alternative learning pathways</td>
<td>29%</td>
<td>2%</td>
<td>69%</td>
</tr>
<tr>
<td>Reducing class sizes</td>
<td>20%</td>
<td>8%</td>
<td>72%</td>
</tr>
<tr>
<td>Summer schools</td>
<td>12%</td>
<td>3%</td>
<td>85%</td>
</tr>
</tbody>
</table>

For secondary schools there were also some big differences, as shown in chart 2.9. At the time of the survey, 98% of secondary schools were offering additional support outside the classroom, and 95% had additional staff to support disadvantaged pupils, without the Pupil Premium this would reduce to 82% offering additional support outside the classroom and just 70% having additional staff to support disadvantaged pupils.

Big reductions can also be seen for out of hours activities, reducing class sizes, and summer schools, and there were smaller reductions for all types of support: each type would be available in fewer schools without the Pupil Premium.
### Chart 2.9 Support offered by secondary schools and whether it would still be offered without Pupil Premium

<table>
<thead>
<tr>
<th>Support Offered</th>
<th>Offer now and would offer without Pupil Premium</th>
<th>Offer now, could not offer without Pupil Premium</th>
<th>Do not offer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional support outside the classroom</td>
<td>82%</td>
<td>17%</td>
<td>2%</td>
</tr>
<tr>
<td>Additional support inside the classroom</td>
<td>82%</td>
<td>8%</td>
<td>9%</td>
</tr>
<tr>
<td>Additional staff</td>
<td>70%</td>
<td>25%</td>
<td>5%</td>
</tr>
<tr>
<td>Curriculum related school trips</td>
<td>86%</td>
<td>8%</td>
<td>7%</td>
</tr>
<tr>
<td>Out of hours activities</td>
<td>78%</td>
<td>14%</td>
<td>8%</td>
</tr>
<tr>
<td>Provision of materials or resources</td>
<td>83%</td>
<td>9%</td>
<td>3%</td>
</tr>
<tr>
<td>Parental support and engagement</td>
<td>76%</td>
<td>5%</td>
<td>19%</td>
</tr>
<tr>
<td>Support from specialist services</td>
<td>81%</td>
<td>7%</td>
<td>12%</td>
</tr>
<tr>
<td>Alternative learning pathways</td>
<td>73%</td>
<td>7%</td>
<td>20%</td>
</tr>
<tr>
<td>Reducing class sizes</td>
<td>36%</td>
<td>17%</td>
<td>47%</td>
</tr>
<tr>
<td>Summer schools</td>
<td>50%</td>
<td>18%</td>
<td>33%</td>
</tr>
</tbody>
</table>
3. Funding support for disadvantaged pupils

This chapter examines what schools were spending in order to support disadvantaged pupils (according to their own definition of disadvantage). As with the previous chapter, because of the way schools were pooling the Pupil Premium with other funding sources, the survey asked about all money schools were spending on addressing disadvantage, not just via the Pupil Premium. However, the case studies were able to look in more depth at the Pupil Premium specifically, and how schools were responding to it as an additional funding stream. This chapter also looks at how schools decided how to spend the Pupil Premium, support for disadvantaged pupils before the Pupil Premium, and working with other schools and external providers. All financial figures relate to financial years, though the analysis is derived from data which includes some reported by academic years.

Key findings:

- Most schools had been providing support for disadvantaged pupils before the introduction of the Pupil Premium and so the most common resource they used when deciding how to spend the Pupil Premium was their own experience of what works. However, many schools were also using other sources, particularly evidence from other schools and academic research.

- Over 60% of schools reported reduced real funding between 2010-11 and 2011-12, taking into account all income and estimates of changes in the costs of services. Even more schools said that they expected to experience reduced real funding between 2011-12 and 2012-13.

- Although the pressure on budgets would have been worse in the absence of the Pupil Premium, it constitutes a relatively small proportion of schools' total income – on average, between 3.8% for primary schools with high levels of FSM and 1.0% for secondary schools with low levels of FSM.

- Although there were a substantial number of schools spending on provision to address disadvantage before the introduction of the Pupil Premium, about 70% of schools had increased such expenditure. Moreover, schools were increasing spending on disadvantaged provision even in the face of pressures on their budgets. There were however a minority of schools that had decreased spending on disadvantaged pupils since the introduction of the Pupil Premium.

- The majority of schools were spending more than their Pupil Premium allocation on provision to address disadvantage (84% of primary schools and 91% of secondary schools in 2011-12).

- The biggest items of expenditure were support for pupils focused on learning in the curriculum and social, emotional and behavioural support. Secondary schools and PRUs also had a substantial amount of expenditure on
alternative learning pathways and curriculum. The pattern of expenditure across types of provision did not differ significantly by level of FSM.

- The vast majority of schools (91% of secondary schools, 88% of primary schools, 86% of PRUs and 83% of special schools) were targeting disadvantaged pupils for support before the introduction of the Pupil Premium, although most now had more support on offer than they did before the Pupil Premium. This finding is consistent with reported expenditure on such support.

- Most schools (around 70% or more) were working with other schools, their local authority and/or external providers in order to provide support for disadvantaged pupils, and many schools were pooling budgets with other schools when doing so. The case studies found that external providers (including the local authority) were important for providing services the school itself would not be able to offer such as educational psychologists.

### 3.1 Resources used by schools in deciding how to spend the Pupil Premium

As will be shown in section 3.5, the majority of schools were already supporting disadvantaged pupils before the introduction of the Pupil Premium. The wide range of support that schools were offering a little over a year after the introduction of the Pupil Premium suggests that much of the support was already in place before the Pupil Premium (this was also found to be the case amongst case study schools). Section 3.3.2 also shows that the broad areas of spending on disadvantage had not changed since the introduction of the Pupil Premium. In this context it is to be expected that the majority of schools were, at least in part, basing their decisions about how to spend the Pupil Premium on experience and knowledge they had already gained from supporting disadvantaged pupils. This expectation is supported by the survey data: as table 3.1 shows, nearly all schools used their own internal monitoring and evaluation when deciding how to spend the Pupil Premium. However, the table also shows that many schools used other sources as well.

Using evidence from other schools was very common for all types of school, although secondary schools were more likely than primary schools or special schools to use this. Academic research was quite widely used by primary and secondary schools, but less so by special schools and PRUs. Secondary schools were the most likely to have used the “What Works” pages of the DfE website27, and primary schools were more likely than special schools to have used this. Secondary schools were also the most likely to have used the Sutton Trust toolkit (also known as the Pupil Premium

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27 Also known as the “How to use it” Pupil Premium pages, which are found at [http://www.education.gov.uk/schools/pupilsupport/premium](http://www.education.gov.uk/schools/pupilsupport/premium)
Toolkit), and primary schools were more likely than special schools or PRUs to have used this. PRUs were the most likely to have used Local Authority schemes.

Some schools also spontaneously mentioned other sources they had used. The two most common were discussions with parents and families (3% of primary schools, 2% of secondary schools, 6% of special schools and 8% of PRUs), and discussions with pupils (3% of primary schools, 2% of secondary schools, 5% of special schools and 9% of PRUs).

Schools involved in the case studies drew heavily on their own evidence and knowledge of what works in making decisions about how best to respond to educational disadvantage. As part of this process, the introduction of the Pupil Premium had in some cases caused them to think carefully about the support they were offering and who they were offering it to. This did not necessarily cause them to make any changes in their provision, but it did encourage them to look at resources such as the Toolkit and justify to themselves whether the support they were offering was in the best interest of their pupils.

| Table 3.1 Resources used by schools when deciding how to spend the Pupil Premium |
|---------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                 | Primary schools | Secondary schools | Special schools | PRUs |
| Own internal monitoring and evaluation | 98 | 98 | 100 | 91 |
| Evidence from other schools/word of mouth | 74 | 81 | 70 | 82 |
| Academic research | 67 | 63 | 46 | 45 |
| The "What works" pages of the DfE website | 38 | 45 | 22 | 27 |
| The Sutton Trust Toolkit | 33 | 52 | 19 | 20 |
| Local authority schemes | 25 | 22 | 15 | 48 |
| Other answer | 8 | 12 | 10 | 12 |
| No answer | 1 | 1 | 0 | 3 |
| Don’t know | * | 1 | 0 | 5 |

Base: All schools that took part in the survey (1,240)
The case studies suggest that the reliance of schools on their own experience and internal monitoring had implications for who was involved in making decisions about the use of the Pupil Premium. These decisions tended to be seen as matters of professional judgment and therefore tended to be made by the head teacher, sometimes supported by one or more members of the senior leadership team and sometimes in consultation with a wider group of staff. It may also be that because heads needed to be accountable for the use of the Premium, they wished to oversee its use personally. Even a school such as NWS1, for instance, with a large Premium budget and multiple strands of provision overseen by a vice principal, the principal himself was the final decision-maker.

Governors had oversight of decisions about the Pupil Premium in much the same way as they had about other budgeting decisions. This meant that some governing bodies were highly involved, but there was no evidence that any had set up dedicated scrutiny mechanisms. Partly, this was because the Premium was typically rolled up into the school’s overall budget, while provision funded by the Premium was part of a wider range of provision to tackle disadvantage. Partly, it seems to have been because that provision was flexible and was customised to individual pupils, so that decisions needed to be taken quickly by staff who knew the pupils. As one primary head (in NWP1) explained:

*We are having to make decisions about what to spend almost on a daily basis depending on the needs presented…The governors don’t have any leadership input on Pupil Premium…It is presented to them, but they don’t get involved in the nitty gritty.*

Even where governors were more proactive than this implies, most head teachers appeared to have no difficulty with a form of accountability which allowed them to make professional judgments about what to provide for pupils. Indeed, there were indications towards the end of our fieldwork that at least some heads were encouraging governing bodies to be more closely involved in decision-making. However, one head (in NEP1) was unhappy about a briefing from the local authority which had led the governors to ask for an account both of how the Premium was being spent and of the impacts it was having. “*That’s the worst they [the local authority] could have done,*” he commented. His concern was not with being held to account for his use of the Premium, but with being held to account for it as a separate funding stream when in fact he combined it with other funds to support a wide range of provision.

There were similar issues about the involvement of parents in decision-making. Overall, there was no evidence that in most schools parents were involved in any way that was different from their involvement in other strategic decisions by the school; basically these were regarded as matters for the head and governors.
Most schools had no problems with the requirement to report online about what they had spent their Pupil Premium funding on. However, some heads were uneasy that bringing this to the attention of parents might raise unrealistic expectations about what the school could provide, and agreed with the head at NWP1 that “the fact that we’ve got to put it on our website is just madness”. As an example of the problems to which this might give rise, the head in one primary school (YHP1) was due when we visited to meet a parent who had heard about the Pupil Premium and saw it as giving her child an entitlement to individual provision. “I know she will make demands,” the head explained, “that I will not be able to meet.” Another head (in NWP3) felt that it was invidious to put information on the website about funding for pupils entitled to FSM when there were many other struggling families who were not claiming benefits.

**3.2 Impact of the Pupil Premium on total funding for schools**

Whether schools are able to fund new activities and support with the Pupil Premium can be dependent on the school’s overall budget and whether this is stable, increasing or under pressure. This was found to be the case amongst case studies schools, as discussed in section 3.4. It is therefore important to consider the context of schools’ budgets when looking at Pupil Premium spending. This section therefore looks at the overall budgets of schools in the survey, and whether these were increasing or decreasing. Unless otherwise stated the data in this section is self-reported by schools, although some has been supplemented using Consistent Financial Reporting (CFR) data\(^\text{28}\) where schools were not able to give an answer.

For schools in the survey, the introduction of the Pupil Premium in 2011-12 was accompanied by a modest increase in nominal funding per pupil in primary (about 10%) and secondary (about 3%) schools, though not in special schools or PRUs. These averages conceal a considerable variability in schools’ experience.

A major reason for this variability has been the large number of different factors that have affected their funding. For example, existing initiatives had disappeared, to be replaced by consolidated funding, local authorities were applying different funding formulae to determine schools’ allocations, and external funding was becoming more difficult to obtain.

In addition, there was an increasing tendency for local authorities to charge for services that had previously been provided to schools free of charge (this was an issue brought up by several case study schools – see section 3.4). This last factor means that, if they sought to use the same services, schools will be worse off with

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\(^{28}\) The CFR framework is a standard for collecting information about schools’ income and expenditure to support benchmarking and enabling simple reports to be produced for governors and local authorities. The associated returns provide a national picture of how schools spend their budgets, and are required for all schools maintained by local authorities (LAs) at the end of each financial year.
the same income because their costs have increased. In addition, costs will have increased with inflation. Taking both these factors into account reduces the increase in what is described here as ‘real funding’ per pupil (between 2010-11 and 2011-12) in primary schools to about 5% while secondary schools experienced a small decrease (1.5%).

When we examine schools in terms of losers and gainers, we find that, in general, the losers far outweighed the gainers and many of the gains and losses were quite large. More than 50% of all gainers/losers gained/lost more than 5% of average income. Moreover, this trend is exacerbated for 2012-13 when an even greater proportion of primary and secondary schools expected to lose income. This data is shown in table 3.2.

Given that schools with higher levels of disadvantaged pupils received proportionally more Pupil Premium funding, one might expect some differences in the proportions of schools that lost or gained funding by level of FSM pupils in the school. However, there were no statistically significant differences in the experience of schools in the survey depending on their level of FSM.

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29 Schools in the survey were asked how much these additional charges were costing them. These estimates were deducted from schools total income and then deflated to constant (2010-11) prices using the CPI. Data used in this chapter have mostly been provided by schools although it is supplemented in places by CRF data. Most schools reported income and expenditure by financial years although a few reported by academic year. Given that most of the analysis is concerned with comparisons across years, these differences should not affect the broad results.

30 Table 3.2 is based on data reported by schools so as to provide a consistent comparison over the three years. N is smaller for the comparison of 2012-13 with 2011-12 because many schools were unwilling or unable to give estimates of their income in the current year and, of course, CFR data is not yet available.
Table 3.2  Proportion of schools that gained and lost real funding31 per pupil by type of school, 2010-11 to 2012-1332

<table>
<thead>
<tr>
<th></th>
<th>Primary schools</th>
<th>Secondary schools</th>
<th>Special schools</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td><strong>2010-11 to 2011-12</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gained</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gain less than or equal to 5%</td>
<td>37</td>
<td>34</td>
<td>24</td>
</tr>
<tr>
<td>Gain over 5% but less than or equal to 10%</td>
<td>10</td>
<td>8</td>
<td>8</td>
</tr>
<tr>
<td>Gain over 10% but less than or equal to 25%</td>
<td>8</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>Gain over 25%</td>
<td>4</td>
<td>5</td>
<td>2</td>
</tr>
<tr>
<td>Lost</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Loss less than or equal to 5%</td>
<td>63</td>
<td>66</td>
<td>76</td>
</tr>
<tr>
<td>Loss over 5% but less than or equal to 10%</td>
<td>20</td>
<td>31</td>
<td>27</td>
</tr>
<tr>
<td>Loss over 10% but less than or equal to 25%</td>
<td>18</td>
<td>17</td>
<td>21</td>
</tr>
<tr>
<td>Loss over 25%</td>
<td>6</td>
<td>7</td>
<td>11</td>
</tr>
<tr>
<td><strong>2011-12 to 2012-13</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gained</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gain less than or equal to 5%</td>
<td>23</td>
<td>28</td>
<td>32</td>
</tr>
<tr>
<td>Gain over 5% but less than or equal to 10%</td>
<td>12</td>
<td>14</td>
<td>13</td>
</tr>
<tr>
<td>Gain over 10% but less than or equal to 25%</td>
<td>5</td>
<td>6</td>
<td>4</td>
</tr>
<tr>
<td>Gain over 25%</td>
<td>4</td>
<td>4</td>
<td>9</td>
</tr>
</tbody>
</table>

---

31 This includes all school funding (both grant funding and self-generated income) and has been adjusted for inflation, and to take into account schools having to buy services from their Local Authority that they previously received free of charge. This is therefore not just a year on year comparison of school budgets.

32 Results for PRUs are not included as they are based on very few responses.
Gain over 25% 3 4 7
Lost 77 72 68
Loss less than or equal to 5% 33 34 20
Loss over 5% but less than or equal to 10% 27 24 20
Loss over 10% but less than or equal to 25% 13 10 15
Loss over 25% 5 4 12

Base: All schools that took part in the survey with sufficient cost data

Of course, all schools would have faced even worse budgetary pressures if it hadn’t been for the introduction of the Pupil Premium, but the Pupil Premium allocation does not constitute a large proportion of total schools income, although it varies by level of FSM. As might be expected, the proportion is higher for schools with higher levels of FSM. Table 3.3 below shows, for all schools with available CFR data, not just schools in the survey, the average proportion of school funding that is made up by Pupil Premium funding.

Table 3.3[^33] Pupil Premium allocation as a percentage of total school income from all sources, 2011-12

<table>
<thead>
<tr>
<th></th>
<th>n</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary schools</td>
<td>16,361</td>
<td>1.9</td>
</tr>
<tr>
<td>Low FSM</td>
<td>10,584</td>
<td>1.2</td>
</tr>
<tr>
<td>Medium FSM</td>
<td>3,322</td>
<td>2.7</td>
</tr>
<tr>
<td>High FSM</td>
<td>2,454</td>
<td>3.8</td>
</tr>
</tbody>
</table>

[^33]: The figures in Table 3.3 are based on the published CFR data for 2011-12. Therefore, there is no information for PRUs or Academies. We have looked at Pupil Premium allocation as a proportion of all school funding rather than just grant funding as it is the state of schools’ overall budgets that effect whether they can treat the Pupil Premium as additional funding, or use it to replace other funding.
Secondary schools | 2,007 | 1.4
Low FSM | 1,372 | 1.1
Medium FSM | 465 | 2.1
High FSM | 170 | 2.8

*Base: All primary and secondary schools with published CFR data (18,368)*

These proportions are likely to have increased in 2012-13 as a greater proportion of pupils are eligible for the Pupil Premium (since the inclusion of those who have been recorded as eligible for FSM in the last six years, known as Ever6) and the amount of funding per pupil has increased. However, data was not yet available for 2012-13 for this study.

### 3.3 Spending to address disadvantage

#### 3.3.1 Had schools increased spending on disadvantaged pupils?

As shown elsewhere in this report (section 3.5), many schools were engaged in provision to address disadvantage before the introduction of the Pupil Premium. Of the 683 schools that gave us information on spending in this area, 647 reported positive spending in 2010-11, the year before the Pupil Premium was introduced. This level of spending probably reflects both those schools’ commitment to addressing disadvantage and the existence of funding from multiple sources that could be used for that purpose. About 70% of schools that provided sufficient data for analysis (excluding PRUs) increased their spending to address disadvantage in 2011-12. However, there were no significant differences between schools according to the level of FSM.

A greater proportion of schools in the survey were planning to increase real spending per pupil on disadvantaged provision in 2012-13. Table 3.4 shows the proportion of schools that had increased their spending on disadvantaged pupils each year since the introduction of Pupil Premium. Comparing these results with those in table 3.2, an encouraging picture emerges. Most schools were increasing spending on

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34 One might expect schools with higher levels of FSM pupils to have been more likely to have increased their spending as they would have received more Pupil Premium funding. The fact that the data does not show this should not be over-interpreted. Given the relatively small number of schools that completed the financial information, it would have taken big differences between schools with different levels of FSM to be statistically significant.
disadvantaged provision – or, at least, keeping it unchanged in the face of pressures on their budgets. A minority of schools (16% of primaries and 13% of secondaries) were decreasing such spending.

Table 3.4  Proportion of schools increasing, decreasing or keeping the same\textsuperscript{35} real spending per pupil on provision to address disadvantage by type of school, 2010-11 to 2012-13\textsuperscript{36}  

<table>
<thead>
<tr>
<th></th>
<th>Primary schools</th>
<th>Secondary schools</th>
<th>Special schools</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>\textbf{2010-11 to 2011-12}</td>
<td>(n=363)</td>
<td>(n=172)</td>
<td>(n=62)</td>
</tr>
<tr>
<td>Increased spending</td>
<td>63</td>
<td>58</td>
<td>60</td>
</tr>
<tr>
<td>Spending remained the same</td>
<td>15</td>
<td>20</td>
<td>15</td>
</tr>
<tr>
<td>Decreased spending</td>
<td>23</td>
<td>22</td>
<td>25</td>
</tr>
<tr>
<td>\textbf{2011-12 to 2012-13}</td>
<td>(n=385)</td>
<td>(n=238)</td>
<td>(n=60)</td>
</tr>
<tr>
<td>Increased spending</td>
<td>68</td>
<td>71</td>
<td>60</td>
</tr>
<tr>
<td>Spending remained the same</td>
<td>16</td>
<td>16</td>
<td>13</td>
</tr>
<tr>
<td>Decreased spending</td>
<td>16</td>
<td>13</td>
<td>27</td>
</tr>
</tbody>
</table>

\textit{Base: All schools that took part in the survey with sufficient cost data}

As shown in table 3.5, for the vast majority of schools in the survey, spending on provision to benefit disadvantaged pupils was higher than the amount of Pupil Premium funding they received. Secondary schools were more likely than primary schools to be spending more than their Pupil Premium allocation in 2011-12 but slightly less likely the following year. There appeared to be no differences between schools in terms of the level of FSM.

Although the overall picture is encouraging, table 3.5 also shows that a minority of primary and secondary schools reported spending less than their Pupil Premium allocation on supporting disadvantaged pupils. These schools may have been using

\textsuperscript{35} “Same” is defined as spending that is within 5% of that of the previous year.

\textsuperscript{36} Results for PRUs are not included as they are based on very few responses.
the Pupil Premium to relieve budgetary pressures rather than using it to support
disadvantaged pupils. However, about 60% of schools in this category were
experiencing a fall in real funding per pupil in 2011-12, compared with about 65% of
all schools, so relieving budgetary pressures cannot be the whole story. An
alternative explanation could have been that they were saving some of their
allocation to spend the following year, but 61% of those not spending their full
allocation in 2011-12 also reported spending less than their allocation in 2012-13.

Anecdotal evidence suggests that at least some of the schools in the survey found it
difficult to complete the financial datasheet to say how much they had spent on
supporting disadvantaged pupils. Their budgets were not set up in this way\(^{37}\) so it
would take a considerable amount of work to collate this information. We suspect that
in most cases these schools would just not complete the sections of the datasheet
about spend on disadvantaged pupils (and indeed, nearly half of schools in the
survey did not complete this information) and so would be excluded from table 3.5.
However, it is possible that some schools partially completed this section which led to
under-reporting on how much they spent on disadvantaged pupils. It therefore
appears that they spent less than their Pupil Premium allocation on supporting
disadvantaged pupils but this is not in fact the case. We have no way of checking
this, but 69% of the schools that reported spending less than their Pupil Premium
allocation on support for disadvantaged pupils agreed with the statement “Pupil
Premium funding alone is not enough to fund the support we offer to disadvantaged
pupils”.

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\(^{37}\) The CFR system encourages record-keeping by item of expenditure (such as salaries) rather than
by activity although some schools do keep that deeper level of detail.
### Table 3.5 Proportion of schools that spent more, the same\textsuperscript{38} or less than their Pupil Premium allocation on provision to address disadvantage by type of school, 2011-12 and 2012-13\textsuperscript{39}

<table>
<thead>
<tr>
<th></th>
<th>Primary schools</th>
<th>Secondary schools</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>2011-12 (n=469)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Spent more than PP allocation</td>
<td>84</td>
<td>91</td>
</tr>
<tr>
<td>Spent the same as PP allocation</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Spent less than PP allocation</td>
<td>12</td>
<td>4</td>
</tr>
<tr>
<td>2012-13 (n=499)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Spent more than PP allocation</td>
<td>80</td>
<td>77</td>
</tr>
<tr>
<td>Spent the same as PP allocation</td>
<td>4</td>
<td>8</td>
</tr>
<tr>
<td>Spent less than PP allocation</td>
<td>16</td>
<td>14</td>
</tr>
</tbody>
</table>

*Base: All schools that took part in the survey and provided sufficient cost data*

---

**Types of spending on disadvantaged pupils**

Table 3.6 shows, for primary, secondary and special schools, the average amounts per pupil spent on different types of provision for disadvantaged pupils for the years 2010-11 (before the introduction of Pupil Premium funding), 2011-12 and 2012-13. It also shows the proportion of total funding spent in each area each year and, for 2011-12 and 2012-13, the percentage change in the average amount spent since the previous year. The means provided in table 3.6 hide a very high degree of variability across all types of provision. However, schools found it difficult to provide this

\textsuperscript{38} “Same” is defined as spending that is within 5% of the allocation.

\textsuperscript{39} Results for special schools and PRUs are not included as they are based on a small number of responses.
information and we are not sufficiently confident in the quality of the data to provide more detailed results.

As table 3.6 shows, for primary schools, the pattern of the types of provision for disadvantaged pupils did not change a great deal with the introduction of the Pupil Premium. Although expenditure on each type rose, the proportions remained approximately the same.

The biggest spending was on support for pupils focused on learning in the curriculum and schools continued to spend about 70% of all their expenditure to address disadvantage on those activities. The next largest area of spending was on social, emotional and behavioural support, which constituted about 15%. There were no clear differences in the proportion of spending on different types of provision between schools with different levels of FSM.

For secondary schools, the picture is somewhat different. Although the biggest items of expenditure were still support for pupils focused on learning in the curriculum and social, emotional and behavioural support, secondary schools also had a substantial amount of expenditure (between 11% and 14%) on alternative learning pathways and curricula. Again there were no clear differences between schools with different levels of FSM.

The types of provision representing smaller proportions of expenditure were also those that were not universally provided. Although support for learning in the curriculum was provided by almost all primary schools with a level of expenditure in 2012-13 ranging between £40 per pupil for the 10th percentile and £818 for the 90th percentile, support for families and communities was only provided by about 50% of schools, with spending ranging between £11 per pupil at the 50th percentile and £113 at the 95th percentile. A similar pattern is observed for secondary schools, albeit at slightly higher levels of spending.

Earlier in this chapter, table 3.4 showed that most primary, secondary and special schools had increased their spending on supporting disadvantaged pupils since the introduction of the Pupil Premium. This is also mostly apparent in table 3.6 below: the total average spend per pupil for primary schools has increased each year; secondary schools showed a big increase between 2010-11 and 2011-12 but then a reduction in 2012-13; and special schools had a similar total spend per pupil between 2010-11 and 2011-12 but then an increase in 2012-13. From our evaluation we cannot say that these increases are because of the Pupil Premium, but it seems unlikely that as many schools would have been able to increase their spending on disadvantage without this funding.
### Table 3.6  Average spending per pupil by type of provision and type of School, 2010-11 to 2012-13

<table>
<thead>
<tr>
<th></th>
<th>2010-11</th>
<th></th>
<th>2011-12</th>
<th></th>
<th>2012-13</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Mean[^40^] £</td>
<td>%</td>
<td>Mean, £</td>
<td>%</td>
<td>% change[^41^]</td>
<td>Mean, £</td>
</tr>
<tr>
<td><strong>Primary</strong></td>
<td>(n=365)</td>
<td></td>
<td>(n=363)</td>
<td></td>
<td>(n=408)</td>
<td></td>
</tr>
<tr>
<td>Learning in the curriculum</td>
<td>£198</td>
<td>69</td>
<td>£236</td>
<td>69</td>
<td>+19%</td>
<td>£269</td>
</tr>
<tr>
<td>Social, emotional &amp; behavioural</td>
<td>£43</td>
<td>15</td>
<td>£55</td>
<td>16</td>
<td>+27%</td>
<td>£54</td>
</tr>
<tr>
<td>Enrichment beyond curriculum</td>
<td>£19</td>
<td>7</td>
<td>£22</td>
<td>7</td>
<td>+16%</td>
<td>£21</td>
</tr>
<tr>
<td>Families &amp; communities</td>
<td>£13</td>
<td>5</td>
<td>£8</td>
<td>5</td>
<td>-38%</td>
<td>£17</td>
</tr>
<tr>
<td>Alternative learning pathways</td>
<td>£3</td>
<td>1</td>
<td>£4</td>
<td>1</td>
<td>+33%</td>
<td>£6</td>
</tr>
<tr>
<td>Other</td>
<td>£9</td>
<td>3</td>
<td>£8</td>
<td>2</td>
<td>-11%</td>
<td>£12</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>£285</td>
<td>100</td>
<td>£333</td>
<td>100</td>
<td>+17%</td>
<td>£379</td>
</tr>
<tr>
<td><strong>Secondary</strong></td>
<td>(n=190)</td>
<td></td>
<td>(n=172)</td>
<td></td>
<td>(n=245)</td>
<td></td>
</tr>
<tr>
<td>Learning in the curriculum</td>
<td>£262</td>
<td>61</td>
<td>£256</td>
<td>46</td>
<td>-2%</td>
<td>£226</td>
</tr>
<tr>
<td>Social, emotional &amp; behavioural</td>
<td>£64</td>
<td>15</td>
<td>£98</td>
<td>18</td>
<td>+53%</td>
<td>£75</td>
</tr>
</tbody>
</table>

[^40^]: This is the mean across all schools that provided data about spending on disadvantage provision, including schools that spent nothing on particular types of provision.

[^41^]: Shows percentage change in average spend since previous year.
<table>
<thead>
<tr>
<th></th>
<th>2010-11</th>
<th>2011-12</th>
<th></th>
<th>2012-13</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Mean, £</td>
<td>Mean, £</td>
<td>%</td>
<td>Mean, £</td>
<td>%</td>
</tr>
<tr>
<td></td>
<td>(n=63)</td>
<td>(n=62)</td>
<td>%</td>
<td>(n=66)</td>
<td>%</td>
</tr>
<tr>
<td>Special</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Learning in the curriculum</td>
<td>£2,559</td>
<td>£2,647</td>
<td>55</td>
<td>£2,716</td>
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<td>Social, emotional &amp; behavioural</td>
<td>£987</td>
<td>£777</td>
<td>21</td>
<td>£1,225</td>
<td>24</td>
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<td>Enrichment beyond curriculum</td>
<td>£458</td>
<td>£410</td>
<td>10</td>
<td>£462</td>
<td>9</td>
</tr>
<tr>
<td>Families &amp; communities</td>
<td>£264</td>
<td>£217</td>
<td>6</td>
<td>£213</td>
<td>4</td>
</tr>
<tr>
<td>Alternative learning pathways</td>
<td>£374</td>
<td>£460</td>
<td>8</td>
<td>£486</td>
<td>9</td>
</tr>
<tr>
<td>Other</td>
<td>£49</td>
<td>£79</td>
<td>1</td>
<td>£68</td>
<td>1</td>
</tr>
<tr>
<td>Total</td>
<td>£4,691</td>
<td>£4,590</td>
<td>100</td>
<td>£5,170</td>
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<table>
<thead>
<tr>
<th></th>
<th></th>
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<th>% change</th>
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<tbody>
<tr>
<td>Learning in the curriculum</td>
<td>+3%</td>
<td></td>
<td></td>
<td>+3%</td>
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</tr>
<tr>
<td>Social, emotional &amp; behavioural</td>
<td>-21%</td>
<td></td>
<td></td>
<td>+58%</td>
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<tr>
<td>Enrichment beyond curriculum</td>
<td>+10%</td>
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<td></td>
<td>+13%</td>
<td></td>
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<tr>
<td>Families &amp; communities</td>
<td>-18%</td>
<td></td>
<td></td>
<td>-2%</td>
<td></td>
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<tr>
<td>Alternative learning pathways</td>
<td>23%</td>
<td></td>
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<td>+6%</td>
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<tr>
<td>Other</td>
<td>+61%</td>
<td></td>
<td></td>
<td>-14%</td>
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</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th>% change</th>
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<th></th>
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</thead>
<tbody>
<tr>
<td>Families &amp; communities</td>
<td>-36%</td>
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<td></td>
<td>-45%</td>
<td></td>
</tr>
<tr>
<td>Alternative learning pathways</td>
<td>+63%</td>
<td></td>
<td></td>
<td>-17%</td>
<td></td>
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<tr>
<td>Other</td>
<td>+14%</td>
<td></td>
<td></td>
<td>0%</td>
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</tr>
</tbody>
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<p>| | | | | | |</p>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Learning in the curriculum</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Social, emotional &amp; behavioural</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enrichment beyond curriculum</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Families &amp; communities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alternative learning pathways</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
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<td></td>
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</tbody>
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<p>| | | | | | |</p>
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<thead>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>100</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Base: All schools that took part in the survey and provided sufficient cost data\textsuperscript{42}

Overall, there is little to suggest that the introduction of the Pupil Premium opened up large new areas of provision.

\textsuperscript{42} Results for PRUs are not included as they are based on very few responses.
3.4 Pupil Premium funding in case study schools

In reporting the case studies we have followed the majority of schools in not differentiating between the roles of the Pupil Premium and of other funding sources in sustaining these responses. In this section, however, we consider the impacts of the Pupil Premium as an additional funding stream. In this respect, the case studies allow us to expand considerably on the survey findings.

In all of the case study schools, the Pupil Premium was a relatively small, but often significant element of the school’s overall budget. Not surprisingly, smaller schools with low numbers of children attracting Premium funding received relatively little in absolute terms. In SWP1, the sum was less than £30K – enough to buy a little additional staffing, perhaps, but fairly insignificant in the context of an overall budget well in excess of £1m. In other schools, the sums involved were even smaller – less than £10K in a school such as NWP4. Even in schools attracting large amounts of Premium funding this constituted only a small proportion of the school’s overall budget. For instance, school SWS1 attracted over £130K in Pupil Premium funding, but in the context of overall income of more than £7m. In every case, Premium funding was enough to do something worthwhile, but nowhere did schools report that it transformed their finances.

Moreover, case study schools, like those responding to the survey, tended to spend – and to have been spending – more on their responses to disadvantage than the Premium brought in. As one school business manager (in OLS1) put it:

Pupil Premium is just a tiny bit of money really…in relation to all these needs.

School YHP2, for instance, received less than £10K in Premium funding, but reported that it was spending over £135K on disadvantaged pupils. Likewise, a large ‘earner’ in terms of the Pupil Premium, secondary school YHS1, reported that it received just under £170K in Premium funding but spent just under £600K on provision for disadvantaged pupils. Such figures, of course, depend on which elements of expenditure are included in the calculation, and which pupils are defined as disadvantaged. However, schools’ reports are entirely consistent with the findings that they were committed to making provision for disadvantaged pupils, and that they already had well-established programmes of provision that had initially been funded from other sources.

Not surprisingly, therefore, schools tended not to ring fence Premium funding in any rigid way. Most were happy to say that they pooled all their funding into a common ‘pot’ and then made decisions about how to spend it. As one head (in NEP3) put it:
I look down the different pockets that [funding] comes from, and I do tend to see if it’s more than the year before or whatever, but really I don’t spend a lot of time on that, because I think it’s pointless. I just look at the bottom line and I’ll say, ‘How much have I got to spend? How much do I need…?’

Indeed, heads tended to be enthusiastic about the flexibility the Premium gave them to fund provision as it was needed rather than to have to adhere to strict spending criteria. Where schools did have an element of ring fencing, this tended to be for accountability and budget management purposes rather than as a means of funding entirely separate provision. They wanted to be able to track how the Premium was spent and/or to account for that spending externally. School NWS1, for instance, was able to track Premium funding in this way, but the funds were used to ‘enhance’ existing provision rather than to fund different provision. Relatively few schools (WMP1, SES1 and NWP1 being counter-examples) tried to tie the Pupil Premium to entirely discrete forms of provision – though in these cases the school also tended to have a wider range of provision for disadvantaged pupils, funded from different sources.

Although the Premium was unable to transform schools’ finances, it was able, in some cases at least, to raise the profile of provision for disadvantaged pupils and to signal that this should be a funding priority. At a time when other funds and resources for responding to disadvantage were seen to be shrinking, the Premium at the very least enabled schools to maintain some elements of their provision in this field. As one head (in ILS1) argued:

*Without the Pupil Premium, how could we support pupils effectively enough to achieve what they’re achieving? How could we do home visits? How could we do this forensic data analysis? How could we intervene in fine detail in lessons in the way that we do?...Students would fall back.*

Moreover, although schools tended to pool Premium funding with other funds, the fact that it existed as, and to some degree was accountable as, a separate funding stream was seen as offering some protection to provision for disadvantaged pupils. As budgets came under pressure, therefore, some schools were clear that they would do what they could to maintain this provision. “*What it will mean,*” one head (in WMS1) explained,

*is that as we have to down-size our programmes that support all the kids, we won’t have to down-size them for the kids that fall into [disadvantage] categories. They are guaranteed to carry on having tutors, counsellors, and all the other things.*
In the same way, the introduction of the Premium and the need to be accountable for its use seemed to have brought about a sharper focus on disadvantaged pupils in at least some of the case study schools. The informants we spoke to in secondary school SES2, for instance, thought that this had caused them to think much harder about their response to disadvantaged pupils, and had resulted in their being more proactive in identifying needs. Another school (YHP2) reported that although Premium funding was not ring-fenced, it offered a 'justification' for spending money on the children who attracted it. As one head (in ILS1) put it, "Pupil Premium really helps us direct attention to the things that we know will keep things going".

3.5 Support for disadvantaged pupils before the Pupil Premium

Most schools were explicitly targeting disadvantaged pupils for support before the introduction of the Pupil Premium, but a significant minority were not. This does not vary depending on the proportion of disadvantaged pupils in the school.

Special schools were less likely than secondary schools to have been targeting disadvantaged pupils for support before the Pupil Premium, but none of the other differences in table 3.7 are statistically significant.

<table>
<thead>
<tr>
<th></th>
<th>Primary schools (n=690)</th>
<th>Secondary schools (n=386)</th>
<th>Special schools (n=99)</th>
<th>PRUs (n=65)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>88</td>
<td>91</td>
<td>83</td>
<td>86</td>
</tr>
<tr>
<td>No</td>
<td>10</td>
<td>7</td>
<td>14</td>
<td>3</td>
</tr>
<tr>
<td>Don't know</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td>11</td>
</tr>
</tbody>
</table>

*Base: All schools that took part in the survey (1,240)*

Of schools that were targeting disadvantaged pupils for support before the introduction of the Pupil Premium, most now had more support for disadvantaged pupils than they had before the Pupil Premium. Secondary schools were particularly
likely to have more support than before the Pupil Premium. Where schools did not have more support, almost all had the same level of support as before the Pupil Premium. Only a tiny minority had less. These results are shown in table 3.8, and they concur with the findings in section 3.3.1 which showed that average spend on supporting disadvantaged pupils had increased since the introduction of Pupil Premium funding.

It should be noted that any increase in support reported here is not directly attributable to the Pupil Premium. Case study findings suggest that schools’ provision was evolving over time (independent of the Pupil Premium) and used pooled budgets, of which the Pupil Premium was just a part (discussed further in section 5.2).

Primary schools with higher levels of disadvantaged pupils were more likely to say they now had more support for disadvantaged pupils than before the introduction of the Pupil Premium: 81% of schools with a high level of FSM pupils\(^ {43} \) and 78% with a medium level of FSM pupils had more support now, compared with 58% of primary schools with a low level of FSM pupils. This is perhaps unsurprising as schools with higher levels of disadvantaged pupils will have had more Pupil Premium funding.

| Table 3.8 Whether schools now have more, the same, or less support than before the introduction of the Pupil Premium |
|---|---|---|---|
| Primary schools (n=604) | Secondary schools (n=349) | Special schools (n=84) | PRUs (n=55) |
| Now have more support for disadvantaged pupils | 66 | 78 | 57 | 67 |
| Now have about the same level of support for disadvantaged pupils | 32 | 20 | 39 | 32 |
| Now have less support for disadvantaged pupils | 1 | 1 | 2 | 2 |
| Don’t know | 2 | 1 | 1 | 0 |

*Base: All schools that targeted disadvantaged pupils for support before the introduction of the Pupil Premium (1,092)*

\(^{43}\) For primary schools, a low level of FSM pupils is classed as up to and including 20%, a medium level is more than 20% up to and including 35%, and a high level is more than 35%.
The case studies also suggest that schools were offering support to disadvantaged students before the advent of the Pupil Premium. Indeed, we found no schools that had previously had no such provision. This may be because our sample were to some extent self-selecting, but it may also be because the case study approach gave schools the opportunity to explain their approaches in depth, to include a wide range of provision, and to interpret ‘disadvantage’ as they saw fit.

The long-standing nature of provision in most schools is not surprising given the explicit commitment of many to supporting disadvantaged pupils, and their awareness of underlying needs. As one head (in NES2) explained, the Pupil Premium was not the driver of schools’ responses to disadvantage, but was the current means of doing what they see as necessary:

What we say is, this is what we’d like for the children, and this is what we think we should give them, and let’s find a way of doing it. If that happens to be the Pupil Premium money, or it happens to be some other pot we use, the money doesn’t drive the approach. The principles drive the approach, and what we want to achieve is what drives how we spend the money.

It was also clear that, as this head implies, case study schools had received other funding in the past that was targeted in one way or another at disadvantaged pupils. This had enabled schools to develop a range of provision which they were able to maintain or develop with the introduction of the Pupil Premium. The experience of primary school NWP3 was a case in point. The school had previously been funded via its local authority to introduce one-to-one numeracy and literacy programmes, and two teachers had been employed in this work. This meant, however, that only a small number of pupils had access to an expensive resource. When the Premium was introduced, therefore, and the school had freedom to use the funds as it saw fit, these interventions were restructured to work on a group basis so that more children could benefit.

3.6 Working with other schools and external providers

Schools may be able to increase the range of support that they offer, or be more efficient with their funding of support if they work together with other schools or with the LA or external providers.

As table 3.9 shows, the majority of schools were working with other schools or organisations to provide support for disadvantaged pupils. PRUs and special schools were more likely than primary and secondary schools to be working with other schools and to be working with the LA. PRUs were also more likely than primary and secondary schools to be working with external providers, and special schools were more likely than primary schools to be working with external providers. Pupils at
special schools and PRUs are generally in need of more intensive and specialist support, so it is to be expected that they work with other providers to a greater extent than mainstream schools.

Primary, secondary and special schools with higher levels of disadvantaged pupils tended to be more likely than those with lower levels of disadvantaged pupils to work with other schools and with the LA in order to provide support for disadvantaged pupils. And for primary and special schools, those with higher levels of disadvantaged pupils tended to be more likely than those with lower levels of disadvantaged pupils to work with external providers to provide support for disadvantaged pupils.

<table>
<thead>
<tr>
<th>Table 3.9</th>
<th>Whether schools work with other schools and providers to provide support for disadvantaged pupils</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Primary schools (n=690)</td>
</tr>
<tr>
<td>Yes – works with other schools</td>
<td>70%</td>
</tr>
<tr>
<td>Yes – works with the LA</td>
<td>71%</td>
</tr>
<tr>
<td>Yes – works with external providers</td>
<td>68%</td>
</tr>
</tbody>
</table>

Base: All schools that took part in the survey (1,240)

Where schools were working with other schools, more than half were pooling their budgets or resources with other schools to provide support for disadvantaged pupils, and primary schools were more likely to be doing this than secondary or special schools: 66% of primary schools were pooling budgets or resources compared with 51% of secondary schools and 52% of special schools. PRUs were no more or less likely than other school types of pool budgets when working with other schools to provide support for disadvantaged pupils: 58% were doing so.

Smaller secondary schools and special schools were more likely to pool budgets or resources with other schools than larger ones.

Amongst schools that were working with the LA or other external providers to provide support for disadvantaged pupils, around half or more had used Pupil Premium
funding to pay for this involvement. Secondary schools were more likely than other schools to have used Pupil Premium funding for this: 68% of secondary schools had done so compared with 49% of primary schools, 54% of special schools, and 49% of PRUs.

The interactions between case study schools and external organisations were complex. As the survey found, schools had multiple links in relation to their work on disadvantage. In the extensive arrays of provision, it was common to find a mix of strands provided by school staff and strands provided externally – for instance by educational psychologists, or education welfare officers, or voluntary or other organisations. Without this external provision, it seems highly unlikely that schools would have had the internal resources or – more particularly – expertise – to offer everything they believed was necessary.

Basically, these external links were of three kinds: with other schools; with the local authority and its services; and with non-local authority providers. Schools tended to be linked extensively with other schools for a wide range of purposes, and reported sharing information and ideas about their approaches to disadvantage. Sometimes these links were formalised and involved some sharing of resources. A converter academy (NWS2), for instance, was working with other schools to maintain elements of an area-based initiative which, amongst other things, involved mentoring for disadvantaged pupils. Other schools were parties to formal arrangements under which groups of schools pooled some elements of funding in order to make shared provision. Primary school SWP1, for instance, subscribed to a ‘soft’ federation which, amongst other things, ran its Year 6 transition project, and ran attendance panels to work with absentee children and their families. However, there were some indications that arrangements of this kind were coming under threat as the funding which had sustained them was lost or redirected to individual schools. The head at SWP1 reported that, although the federation was well established, and although schools willingly subscribed to it, they drew the line at pooling Pupil Premium funding, on the grounds that schools wanted to ‘hang on to what they’ve got’ in straitened times. A similar point was made by the head of a secondary school (NES1) that had been involved in a strong extended services partnership:

Because of the way dedicated schools grant is now being separated and given directly to schools, in times of financial crisis all of those collaborations that were set up, that were funded from keeping back some of the funds, now are at risk, because you’ve got this destabilising where you’ve got an academy, and people aren’t buying into it because times are tight.

Interestingly, this head also thought that Pupil Premium funding was exacerbating the situation by devolving funding to the individual school rather than the collective, and by generating resentments between schools over the amount each received.
These issues were also reflected in links with local authorities and their services. These links were already variable, not least because some schools were formally controlled by the local authority, while the academies in the sample were not and in some cases had not developed extensive reliance on local authority services. However, there were reports from schools of a reduction in the services that local authorities were providing, with a consequent loosening of ties. As the head of SWP1 explained:

*Since the cuts started [support from the local authority has] been less and less, and schools are becoming less and less reliant on the local authority.*

This was a recurrent theme amongst case study schools, several reported a reduction in SEN funding or a reduction in the SEN services they received from their local authority – most notably, access to educational psychologists. These schools saw this as limiting their capacity to respond to disadvantage. Again, this seemed to be contributing to a loosening of ties with local authorities as schools explored other ways of accessing the services they believed their pupils needed. One primary school (YHP1), for instance, was making good the inadequacy of educational psychology support from the local authority by pooling funds with a group of other schools to buy additional educational psychologist time. The school was also now training its own staff to deliver speech and language support because of the erosion of the local speech and language therapy service. Another primary (WMP1) reported that a local multi-professional child and family support team was disappearing because the local authority had had to withdraw funding. A group of local schools was now trying to pool funds in order to pay for similar provision themselves.

As these examples illustrate, alternative ways of providing services that had previously been funded by the local authority were becoming increasingly important. Often, non-local authority providers were making contributions – in the form, for instance, of tuition services, outreach from professional football and cricket clubs, or alternative provision for pupils at Key Stage 4. However, there was little evidence of a wholesale replacement of LA services by private providers. On the other hand, there were examples of forms of provision that had had to be taken back ‘in-house’ as authority-led provision shrank. As the example of YHP1 shows, however, this was not simply a question of replacing external provision with precisely equivalent internal provision, since it might mean replacing an external specialist services with non-specialist school staff. Moreover, one school (OLS1) reported that, regardless of the funding they had available, there was a lack of capacity locally to enable them to develop some of the services they would have liked to offer.

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44 According to DfE figures there has been no overall reduction in spend on SEN nationally. The reduction in SEN funding reported by some case study schools therefore reflects funding changes at local level.
4. Future Plans

This chapter examines what schools are intending to do with Pupil Premium funding over the next year.

Key findings:

- Many schools (60% of secondary schools, 49% of PRUs, 40% or primary schools and 40% of special schools) were planning on increasing their support for disadvantaged pupils over the coming year, most of the rest were planning to continue at the same level.

- Most schools (79% of secondary schools, 75% of special schools, 68% of primary schools and 57% of PRUs) were planning on introducing new forms of support over the coming year using Pupil Premium funding, the most common types of support schools were planning to introduce were additional support outside the classroom and additional staff.

4.1 Level of support

As shown in section 3.5, most schools had more support for disadvantaged pupils (however they chose to define disadvantage) than they did before the introduction of the Pupil Premium. Many schools (although less than half for primary schools, special schools and PRUs) were planning on increasing the level of support they offered further over the coming year, and most of the remainder were planning on continuing to offer the same level of support. These results are shown in table 4.1.

The case studies found schools a bit more cautious about planning to expand their provision. Schools were able to identify developments that they planned to undertake, supported at least in part by the projected increase in the value of the Pupil Premium. However, many also reported anxieties about future funding changes which might outweigh any gains in Pupil Premium funding.

There was a trend for larger secondary schools to be more likely than smaller ones to be planning to increase the level of support they offer, but the differences were not statistically significant. Primary schools with higher levels of disadvantaged pupils were more likely to be planning to increase the level of their support than those with lower levels of disadvantaged pupils: 34% of primary schools with a low level of FSM
pupils\textsuperscript{45} were planning on increasing their support compared with 49\% of primary schools with a medium level of FSM pupils, and 55\% with a high level.

<table>
<thead>
<tr>
<th>Table 4.1</th>
<th>Whether schools were intending to increase/continue/decrease the level of support they offer to disadvantaged pupils over the coming year</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Primary schools</td>
</tr>
<tr>
<td></td>
<td>(n=690)</td>
</tr>
<tr>
<td>Increase the level of support</td>
<td>40%</td>
</tr>
<tr>
<td>Continue providing support at the same level</td>
<td>55%</td>
</tr>
<tr>
<td>Decrease the level of support</td>
<td>1%</td>
</tr>
<tr>
<td>Don’t know</td>
<td>5%</td>
</tr>
</tbody>
</table>

*Base: All schools that took part in the survey (1,240)*

### 4.2 New activities planned

All schools were also asked if they were planning on introducing any new types of support or enhancing existing support for disadvantaged pupils using Pupil Premium funding in the next year. As shown in table 4.2, most schools were planning to do this. Secondary schools were more likely than primary schools or PRUs to be planning on introducing new types of support or enhancing existing support, and special schools were more likely than PRUs to be planning to do this.

Primary schools with high or medium levels of FSM pupils were more likely than those with low levels of FSM pupils to be planning on introducing any new support or enhancing existing support using the Pupil Premium (76\% compared with 64\%).

\textsuperscript{45}For primary schools, a low level of FSM pupils is classed as up to and including 20\%, a medium level is more than 20\% up to and including 35\%, and a high level is more than 35\%. 
Table 4.2  Whether schools were planning on introducing any new types of support or enhancing existing support for disadvantaged pupils using Pupil Premium funding in the next year

<table>
<thead>
<tr>
<th></th>
<th>Primary schools (n=690)</th>
<th>Secondary schools (n=386)</th>
<th>Special schools (n=99)</th>
<th>PRUs (n=65)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td></td>
<td>68</td>
<td>79</td>
<td>75</td>
<td>57</td>
</tr>
<tr>
<td>No</td>
<td>27</td>
<td>17</td>
<td>19</td>
<td>32</td>
</tr>
<tr>
<td>Don't know</td>
<td>5</td>
<td>4</td>
<td>6</td>
<td>11</td>
</tr>
</tbody>
</table>

*Base: All schools that took part in the survey (1,240)*

For schools that were planning on introducing or enhancing support, the types of support they were planning on introducing or enhancing using Pupil Premium funding are shown in table 4.3. Around a third of primary and secondary schools were planning on introducing or enhancing additional support outside the classroom, but this was less common amongst special schools and PRUs. Other fairly common plans were for introducing additional staff or new out of hours activities. PRUs were more likely than other schools to be planning to introduce new alternative learning pathways.

For primary and secondary schools, those with high levels of FSM pupils (35% or more) were more likely than schools with lower levels of FSM pupils to be planning to introduce or enhance support from specialist services: 17% or primary schools and 21% of secondary schools with high levels of FSM pupils were planning to do this. There were no other differences by level of FSM.
<table>
<thead>
<tr>
<th>Types of support schools were planning on introducing using Pupil Premium funding in the next year</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
<tr>
<td>Additional support outside the classroom</td>
</tr>
<tr>
<td>Additional support inside the classroom</td>
</tr>
<tr>
<td>Additional staff</td>
</tr>
<tr>
<td>Curriculum related school trips</td>
</tr>
<tr>
<td>Out of hours activities</td>
</tr>
<tr>
<td>Provision of materials or resources</td>
</tr>
<tr>
<td>Parental support and engagement</td>
</tr>
<tr>
<td>Support from specialist services</td>
</tr>
<tr>
<td>Alternative learning pathways</td>
</tr>
<tr>
<td>Reducing class sizes</td>
</tr>
<tr>
<td>Summer schools</td>
</tr>
<tr>
<td>Don’t know</td>
</tr>
</tbody>
</table>

_Base: All schools that were planning on introducing any new types of support or enhancing existing support for disadvantaged pupils using Pupil Premium funding in the next year (939)_

---

46 e.g. one-to-one tutoring, small group teaching
47 e.g. teaching assistants, extra teachers, learning mentors, family support workers
48 e.g. breakfast clubs, after school and holiday clubs, homework clubs, sports and leisure activities
49 e.g. educational psychologist, counsellor, health worker
50 e.g. arrangements with local FE colleges, other schools or providers
5. Impacts of the Pupil Premium

It is too early to measure the impacts of the Pupil Premium on pupil attainment and that was not the purpose of this research. This chapter examines what schools thought about the Pupil Premium after having received it for a full academic year, whether new support for disadvantaged pupils (however schools chose to define disadvantage) had been introduced as a result of the Pupil Premium, and whether schools were monitoring the impact of the support they provide for disadvantaged pupils.

Key findings:

- Schools had some positive attitudes towards the Pupil Premium: at least two thirds agreed that they would not be able to do as much for disadvantaged pupils without it; and, with the exception of PRUs, at least two thirds agreed it allowed them to maintain services they might not have been able to without the Pupil Premium.

- Over 90% of schools had been focused on supporting disadvantaged pupils before the introduction of the Pupil Premium though, and over 80% agreed that the Pupil Premium alone was not enough to fund the support they offered.

- The majority of schools in the survey (80% of secondary schools, 73% of special schools, 67% of primary schools, and 53% of PRUs) said they had introduced new support and/or enhanced their existing support for disadvantaged pupils as a direct result of the Pupil Premium. The case studies suggested a more complex situation of evolving provision which the Pupil Premium contributed to, with schools generally having used Pupil Premium money to finance existing forms of support rather than doing anything ‘brand new’.

- Almost all schools (95% or more) were monitoring the impact of the support they were providing for disadvantaged pupils – in particular they were looking for improvements in attainment but also improvements in attendance, confidence and behaviour and, for secondary schools and PRUs, reductions in exclusions and in pupils being NEET (Not in Employment, Education or Training) after leaving school.
5.1 Attitudes towards the Pupil Premium

Schools had some positive attitudes towards the Pupil Premium: the majority agreed that they would not be able to do as much for disadvantaged pupils without the Pupil Premium, and most agreed that it had allowed them to maintain services and support that would otherwise have been withdrawn. A notable minority agreed that the introduction of the Pupil Premium had meant they put more effort into helping disadvantaged pupils. However, almost all schools in the survey had a focus on helping disadvantaged pupils before the introduction of the Pupil Premium, and most agreed that Pupil Premium funding alone was not enough to fund the support they offered to disadvantaged pupils. Some very similar attitudes were shown by case study schools (as discussed in section 3.4).

Although Pupil Premium funding is relatively new, providing support to disadvantaged pupils is not a new idea for most schools: 94% or more agreed they had a focus on helping disadvantaged pupils before the introduction of the Pupil Premium. This concurs with the results in section 3.5 which showed that the majority of schools were explicitly targeting disadvantaged pupils for support before the Pupil Premium. This is also evidenced by the wide range of support schools were offering just one year after the introduction of Pupil Premium funding (as shown in section 2.4). It is unlikely schools would have been able to put together such a range if they were not already offering much of it before the Pupil Premium.

As table 5.1 shows, special schools and PRUs were more likely than primary and secondary schools to strongly agree they had a focus on helping disadvantaged pupils before the introduction of Pupil Premium, but overall agreement was similar for all school types (between 94% and 98%).

<table>
<thead>
<tr>
<th></th>
<th>Primary schools (n=690)</th>
<th>Secondary schools (n=386)</th>
<th>Special schools (n=99)</th>
<th>PRUs (n=65)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly agree</td>
<td>66%</td>
<td>59%</td>
<td>80%</td>
<td>82%</td>
</tr>
<tr>
<td>Agree</td>
<td>28%</td>
<td>36%</td>
<td>18%</td>
<td>12%</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
<td>3%</td>
<td>3%</td>
<td>1%</td>
<td>3%</td>
</tr>
<tr>
<td>Disagree</td>
<td>3%</td>
<td>2%</td>
<td>1%</td>
<td>0%</td>
</tr>
</tbody>
</table>
Table 5.2  Agreement with statement: The introduction of the Pupil Premium has meant the school puts more effort into helping disadvantaged pupils

<table>
<thead>
<tr>
<th></th>
<th>Primary schools</th>
<th>Secondary schools</th>
<th>Special schools</th>
<th>PRUs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Don't know</td>
<td>*</td>
<td>1</td>
<td>0</td>
<td>3</td>
</tr>
</tbody>
</table>

Base: All schools that took part in the survey (1,240)

Despite the vast majority of schools having had a focus on helping disadvantaged pupils before the Pupil Premium, over half (54%) of secondary schools agreed the introduction of the Pupil Premium has meant the school puts more effort into helping disadvantaged pupils. Other types of schools were less likely to agree with this statement: 38% of primary schools, 33% of special schools and 25% of PRUs.

Primary schools with higher levels of disadvantaged pupils were a little more likely than those with lower levels of disadvantaged pupils to agree with the statement. This is unsurprising as those with more disadvantaged pupils would have received more funding from the Pupil Premium. However, this relationship did not hold true for secondary schools, special schools or PRUs.

As the vast majority of schools were supporting disadvantaged pupils before the Pupil Premium it is positive to see that most primary, secondary and special schools
agreed that Pupil Premium funding has allowed them to maintain services and support that would otherwise have been withdrawn. This finding was also echoed by the case studies (as discussed in section 5.2). However, only 39% of PRUs agreed with this. This is likely to be related to the different nature of funding of PRUs – some PRUs have their budgets held by the LA and so do not directly receive Pupil Premium funding.

For all school types, those with higher levels of disadvantaged pupils were more likely to agree with this statement than those with lower levels of disadvantaged pupils. This is likely to be due to schools with more disadvantaged pupils receiving more Pupil Premium funding.

### Table 5.3 Agreement with statement: The Pupil Premium has allowed us to maintain services and support which would otherwise have been withdrawn

<table>
<thead>
<tr>
<th></th>
<th>Primary schools (n=690)</th>
<th>Secondary schools (n=386)</th>
<th>Special schools (n=99)</th>
<th>PRUs (n=65)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>Strongly agree</td>
<td>35</td>
<td>38</td>
<td>25</td>
<td>14</td>
</tr>
<tr>
<td>Agree</td>
<td>35</td>
<td>38</td>
<td>40</td>
<td>26</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
<td>11</td>
<td>7</td>
<td>9</td>
<td>21</td>
</tr>
<tr>
<td>Disagree</td>
<td>15</td>
<td>13</td>
<td>21</td>
<td>27</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td>9</td>
</tr>
<tr>
<td>Don’t know</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>3</td>
</tr>
</tbody>
</table>

*Base: All schools that took part in the survey (1,240)*

Secondary schools were most likely to agree they would not be able to do as much for disadvantaged pupils without the Pupil Premium (88% agreed), and primary schools were more likely than special schools or PRUs to agree with this statement: 81% of primary schools agreed compared with 69% of special schools and 65% of PRUs. For PRUs the lower level of agreement with this statement may again be related to some PRUs not directly getting Pupil Premium funding. For PRUs and special schools this may also relate to some of these schools considering all their pupils to be disadvantaged (as shown in section 2.1) and so the schools thinking that *everything* they do is for the benefit of disadvantaged pupils.
Section 2.6 shows the types of support schools would have to stop offering without Pupil Premium funding.

For primary, secondary and special schools those with higher levels of disadvantaged pupils were more likely to agree with this statement than those with lower levels of disadvantaged pupils. Again, this is likely to be due to the higher amounts of Pupil Premium funding received by schools with more disadvantaged pupils.

<table>
<thead>
<tr>
<th>Table 5.4</th>
<th>Agreement with statement: Without the Pupil Premium the school would not be able to do as much for disadvantaged pupils</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Primary schools (n=690)</td>
</tr>
<tr>
<td></td>
<td>%</td>
</tr>
<tr>
<td>Strongly agree</td>
<td>44</td>
</tr>
<tr>
<td>Agree</td>
<td>37</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
<td>8</td>
</tr>
<tr>
<td>Disagree</td>
<td>8</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>3</td>
</tr>
<tr>
<td>Don’t know</td>
<td>*</td>
</tr>
</tbody>
</table>

Base: All schools that took part in the survey (1,240)

Although schools were positive about the Pupil Premium helping them to do more for disadvantaged pupils, the majority agreed that the Pupil Premium alone was not enough to fund the support they were offering for disadvantaged pupils. This is also demonstrated in section 3.3.1 which shows that most schools were spending more than their Pupil Premium allocation on supporting disadvantaged pupils.

Special schools and PRUs were particularly likely to agree with this statement: 95% of each agreed compared with 82% of both primary and secondary schools.
Table 5.5  Agreement with statement: Pupil Premium funding alone is not enough to fund the support we offer to disadvantaged pupils

<table>
<thead>
<tr>
<th></th>
<th>Primary schools (n=690)</th>
<th>Secondary schools (n=386)</th>
<th>Special schools (n=99)</th>
<th>PRUs (n=65)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>Strongly agree</td>
<td>48</td>
<td>48</td>
<td>70</td>
<td>67</td>
</tr>
<tr>
<td>Agree</td>
<td>34</td>
<td>35</td>
<td>25</td>
<td>28</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
<td>8</td>
<td>8</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Disagree</td>
<td>8</td>
<td>8</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Don’t know</td>
<td>*</td>
<td>1</td>
<td>0</td>
<td>2</td>
</tr>
</tbody>
</table>

Base: All schools that took part in the survey (1,240)

5.2 Whether new or expanded support has been introduced as a result of the Pupil Premium

Over half of all schools had introduced new support for disadvantaged pupils as a direct result of the Pupil Premium. This was most common amongst secondary schools (80%), but many primary schools and special schools had also done so (67% and 73% respectively). PRUs were least likely to have introduced new support for disadvantaged pupils as a direct result of the Pupil Premium: 53% had done so.

Amongst primary schools, those with higher levels of disadvantaged pupils were more likely than schools with lower levels of disadvantaged pupils to have introduced new support as a direct result of the Pupil Premium: 59% of primary schools with a low level of FSM pupils had introduced new support compared with 80% of those with a medium level of FSM pupils and 83% of those with a high level of FSM pupils. A similar relationship appeared to exist for secondary schools and special schools, but the differences were not statistically significant.

Schools that had been targeting disadvantaged pupils for support before the introduction of the Pupil Premium (83% or more for each type of school – results in

51 For primary schools, a low level of FSM pupils is classed as up to and including 20%, a medium level is more than 20% up to and including 35%, and a high level is more than 35%.
section 3.5), were asked whether they had expanded their existing support for
disadvantaged pupils as a direct result of the Pupil Premium. A very high proportion
of primary and secondary schools had done so (84% and 85% respectively) but this
was not quite as common amongst special schools and PRUs (71% and 66%
respectively).

Again, primary schools with higher levels of disadvantaged pupils were a little more
likely than schools with lower levels of disadvantaged pupils to have expanded their
existing support for disadvantaged pupils as a direct result of the Pupil Premium:
81% of primary schools with a low level of FSM pupils\textsuperscript{52} had expanded their support
compared with 92% of those with a medium level of FSM pupils and 90% of those
with a high level of FSM pupils.

The case study findings paint a more complex picture of whether schools had new or
expanded support as a result of the Pupil Premium. It is certainly the case that many
schools had little difficulty in identifying forms of provision that would not have existed
without the Premium and that, in some cases, were new developments. However, as
we have seen, most schools already had programmes of provision that were evolving
over time. Since they also tended to resource this provision on the basis of pooled
funding streams, it was very difficult to be sure how far it was the Pupil Premium that
had brought new forms of provision into being and how far this was simply a
continuation of ongoing changes. Put another way, these forms of provision might
have been new, but they were not necessarily additional to what the school already
offered. As we found in one school (NEP2):

Some of the interventions have changed slightly, but this is not down to Pupil
Premium, but rather to the school constantly re-evaluating what the needs are and no
longer being tied down to the criteria of previously ring-fenced funding streams.

(Researcher field notes)

For the most part, schools reported that the Premium was helping them to maintain –
or in some cases, to enhance – their existing provision rather than to establish
entirely new provision. As one head teacher (in primary school NEP1) put it:

In terms of ‘Hey, we’ve got Pupil Premium, let’s start a new initiative’, no, we haven’t
done anything that’s brand new… It’s being subsumed into supporting the initiatives
that we already have in place.

The situation was complicated by the changes that school finances were undergoing.
We have already seen how there were reports from schools of the erosion of external

\textsuperscript{52} For primary schools, a low level of FSM pupils is classed as up to and including 20%, a medium
level is more than 20% up to and including 35%, and a high level is more than 35%.
services, meaning that they were having to incur new costs in buying-in replacements or employing additional staff themselves. Some schools, such as NWS1 (an academy benefiting from start-up funding), were insulated from these changes because their own budgets were stable or growing and because they had no history of dependency on external services. Others had experienced budgetary calamities which left them little option other than to direct all available funding (including some or all of the Premium) into keeping the school afloat. One secondary (NES3) had suffered a collapse of income because local competition had significantly reduced the numbers in its sixth form, whilst a primary school (NWP5) needed urgently to replace its roof and windows, but had lost the capital funding with which to do this.

However, the majority of schools reported themselves to be under moderate, but not yet severe, budgetary pressure. The reasons for this pressure were complex, and it was beyond the scope of the case studies to track them in full. However, several reported a reduction in SEN funding. For instance, one primary (NWP4) reported a loss of £66K which was only marginally offset by its £8K in Premium funding, whilst a secondary academy (SWS1) reported that its SEN budget had declined from £500K to £70K in two years. As the school’s business manager commented:

That’s a massive drop, so inevitably some of the Pupil Premium is replacing expenditure which would have come from SEN funding.

Typically, problems were attributed to reductions of this kind, combined with a loss of funds as various funding streams were rolled up into the delegated budget, the increased tendency of local authorities to charge for services (including, but by no means restricted to those targeted at disadvantaged pupils), and the loss of capital funding. Sometimes these problems were exacerbated by schools’ not knowing their budgets until the last minute. The business manager in one school (OLS1) gave the kind of account of what was happening to the budget that was typical of schools in this group:

Of course, [Pupil Premium's] not new money. It's the same money. Because all the standards grants were mainstreamed, including the EMAG [Ethnic Minority Achievement Grant], so lots of the big grants we used to have disappeared, and with the move to the national funding formula, we’ve lost small school protection, and...lots of the formula aspects that supported us locally have gone.

Since the impact of funding changes affected schools differentially, and since a range of local factors were implicated, these findings would seem to confirm those of the financial analysis that the trajectories of schools’ real funding were highly varied, but that overall they were becoming increasingly constrained (as shown in section 3.2). Moreover, many schools were concerned that their financial position could
deteriorate in future as further changes to school budgets were in the pipeline – though to offset this to some extent, some were also looking forward to an increase in Pupil Premium funding.

In this situation, many – though not all – schools agreed with the business managers quoted above that the Pupil Premium was, at best, simply making good some of the losses from other funding streams. As one head (in NES1) put it:

Pupil Premium then comes up and picks up some of [the losses], but still, there aren’t the funding streams available that we used to draw on.

For these schools, therefore, there was no question of using Premium funding to set up additional provision. In the words of another head (in NEP3) the Premium was simply ‘propping up’ provision for disadvantaged children.

Amidst budgetary uncertainties, moreover, schools’ views about future developments were also somewhat uncertain. As the survey found (see chapter 4) many schools were able to identify developments that they planned to undertake, supported in part at least by the projected increase in the value of the Premium. However, they also reported anxieties about future funding changes which might outweigh any gains in Premium funding. This was particularly the case since schools tended to have taken opportunities to reduce costs up to now (for instance, by not replacing staff, or by replacing them with junior – and therefore less expensive - alternatives) but were beginning to run out of options for doing this. The consequence was that, welcome as the Pupil Premium was, some schools were reluctant to invest it in long-term commitments. For instance, two secondary schools (ILS1 and NES1) had appointed staff to work with disadvantaged pupils, but had done so on fixed-term contracts so as not to take on an open-ended liability.

5.3 Monitoring the impact of support

Almost all schools (100% of primary schools and PRUs, 98% of secondary schools and 95% of special schools) were monitoring the impact of the support they provide for disadvantaged pupils. This helps explain why, in section 3.1, so many schools were basing their decisions on how to spend the Pupil Premium on their own internal monitoring and evaluation.

The measures used by schools when monitoring the impact of their support are shown in table 5.6. As the table shows, almost all schools were looking for an improvement in attainment. Secondary schools and PRUs were more likely than primary schools and special schools to look for improvement in attendance, and reductions in exclusions and being NEET after leaving school. Improvement in behaviour was something most schools looked at, but particularly PRUs. Perhaps
less easy to measure is an improvement in confidence but this was still looked at by over 90% of primary schools, special schools and PRUs.

Primary schools where attendance was an issue were more likely than those without attendance issues to monitor improvements in attendance: 98% of primary schools where at least 10% of pupils had unauthorised absence for 5% of sessions or more monitored improvements in attendance when looking at the impact of the support they provide.

| Table 5.6 Measures schools looked at to monitor the impact of support for disadvantaged pupils |
|-----------------------------------------------|-----------------------------------------------|----------------------------------------------|-----------------------------------------------|
|                                              | Primary schools (n=688)                        | Secondary schools (n=380)                    | Special schools (n=95)                         |
|                                              | %                                             | %                                            | %                                            |
| Improvement in attainment                   | 100                                           | 100                                          | 98                                           |
| Improvement in attendance                   | 87                                            | 96                                           | 85                                           |
| Improvement in behaviour                    | 87                                            | 87                                           | 93                                           |
| Improvement in confidence                   | 91                                            | 72                                           | 92                                           |
| Reduction in exclusions                     | 39                                            | 82                                           | 49                                           |
| Reduction in pupils being NEET after leaving school | 7                                             | 64                                           | 39                                           |
| Avoiding criminal behaviour                 | 21                                            | 50                                           | 37                                           |
| Other                                        | 8                                             | 11                                           | 10                                           |
|                                              |                                               |                                               | 23                                           |

*Base: All schools that were monitoring the impact of the support they provide for disadvantaged pupils (1,228)*

As table 5.6 shows, a fairly small proportion of schools gave an ‘other’ answer. The most likely measures to be spontaneously mentioned by schools were:

- Pupil wellbeing (social or emotional), mentioned by 8% of primary schools, 2% of secondary schools, 10% of special schools and 5% of PRUs;
- Parental or family engagement, mentioned by 5% of primary schools, 2% of secondary schools, 9% of special schools and 3% of PRUs.
The questions included in the survey about monitoring the impact of support were, by necessity, quite simple. The case studies found schools with apparently sophisticated systems that allowed them to both identify disadvantaged children and their needs, and then monitor how successful provision was in enabling children to do better.

Case study schools were able to generate estimates of the impacts of the support pupils received on attainment. Typically they were able to disaggregate performance data for various sub-groups of pupils so that they could see the overall trend of whether attainment gaps between groups were narrowing. Schools did not just look at attainment though, they could monitor the progress of pupils on a range of indicators such as attendance and punctuality; recorded behaviour incidences; and pupils’ attitudes to school (using an attitudes to school survey). This is discussed further in section 2.5.
6. Case study vignettes

In the previous chapters, we have reported on the findings of the survey thematically, and have elaborated that report with illustrations from the case study findings. This form of reporting is intended to give clear answers to the study’s research questions. However, it runs the risk of presenting issues as separate when in schools those issues are in fact intimately connected with each other. So, for instance, we have reported separately on how schools defined disadvantage, the range of provision they sought to maintain, the way they used the Pupil Premium to support that provision, and so on. In each school, however, these matters were linked; the definition of disadvantage informed the provision that was maintained and the use of the Pupil Premium; they in turn were shaped by the state of the school budget, the educational values the school upheld, the way it assessed its pupils’ progress, and the understanding it had of the needs of families and communities. Indeed, a striking feature of many of the case study schools was the way they set the Pupil Premium within the context of a well-established, and apparently coherent strategy for tackling educational disadvantage, driven by some firmly-held educational principles.

It is important, therefore, to look at schools ‘in the round’, considering how the different factors in their contexts and established provision interacted to shape their responses to the Pupil Premium. With this in mind, we present in this chapter four vignettes, representing a mainstream primary school, a mainstream secondary school, a special school and a PRU. These schools are typical of the sample as a whole in that, although of course they have their own distinctive characteristics, many of the themes identified earlier in this report are evident within them. The practices and responses to the Pupil Premium they display are not notably different from those of many other case study schools. Since what they were doing appeared to be well thought through and based on careful monitoring, it is likely that it was also effective. However, it was beyond the scope of this study to determine effectiveness, and therefore these vignettes are presented as examples of what was happening in many schools rather than as examples of ‘good’ practice.

6.1 Vignettes for mainstream schools

Seashore Primary

*Seashore Primary (SWP1) is a medium-sized (c.360 on roll) voluntary aided school in the south west. It serves areas in a seaside town that are described by the head teacher as being home to a mix of affluent and poor families, with very little in-between. There are large areas of social housing and, as is often the case in seaside towns, a supply of accommodation for homeless families in bed and breakfasts. The town experiences variable levels of employment because of the seasonal nature of work locally. Seasonal workers can only take holidays out of season, which has*
implications for the attendance of their children. There is also a good deal of
transience in the school population, partly because families move out of temporary
accommodation, and partly because more affluent families tend to move their
children into a nearby middle school system at the end of year 4.

Only around 10% of children in the school are entitled to free school meals, but the
head feels that up to half of the population is disadvantaged in some way. The
problem is that many miss the cut off point for entitlement or have parents who are
reluctant to claim FSM. As the head explains:

I think there are a lot of proud parents out there who won’t do it, even though they’re
entitled to do it.

Although the school is focused on raising attainment, there is a strong sense that, as
a church school, there is also an underlying commitment, in the head’s terms, “to
serve the poor of the parish”. Moreover, the head feels that raising attainment is only
possible if children’s other needs are met:

I always take it back to Maslow’s hierarchy, and if you haven’t got those bits in place,
then they are not going to learn, and for some of my children…they’re going up and
down and going right back down to the bottom sometimes, because of things that are
happening in their life.

The school, therefore, has a range of provision targeted at different groups of
disadvantaged pupils, and this predates the introduction of the Pupil Premium. This
provision includes: a ‘virtual’ school led by the local authority to track and intervene
with children who do not cope with the social and emotional demands of school;
specially trained teaching assistants (TAs) who can deliver interventions in speech
and language, behaviour management, emotional literacy, and communication;
small-group work on core subjects; a breakfast club; attendance panels run by the
federation of which the school is a member; an aspirations-raising intervention; and
transition projects with partner secondary schools. Some of these forms of provision
have their own in-built monitoring and evaluation systems. In addition, where
interventions are directly curriculum-related, children’s attainments are monitored up
to three times per year. Other interventions are monitored through entry-exit
questionnaires to children and (where appropriate) their parents.

Because of its relatively low FSM numbers, the school receives only a limited amount
of Pupil Premium funding – less than £30K in 2012-13 out of an overall budget of
£1.2m. This is not ring-fenced and is spent on all pupils who are seen as
disadvantaged. However, the Pupil Premium is set within a complex budgetary
context. The school budget is under pressure because the always-volatile population
of the school is currently low, and the local authority expects it to maintain surplus
capacity without offering per-place funding. In addition, services which were historically provided free (such as the educational psychology service) are now fully or partly charged for and services provided under Sure Start have disappeared, whilst SEN funding has been reduced. On the other hand, some staff have left and not been replaced, and this, together with the Pupil Premium, enables the school to avoid a deficit. The head has concerns that this will not be the case next year, because changes in the way FSM funding is allocated within the local authority will disadvantage a school like hers with a historically small, but rapidly growing FSM population. She expects to post a deficit budget next year and this is likely to force redundancies of TAs.

In these circumstances, the Pupil Premium is used to help maintain existing provision rather than to fund new provision. Since the school’s income streams are pooled, it is difficult to say precisely what the Pupil Premium pays for, but the head points particularly to the employment and training of TAs. As she states:

…it meant I could keep on some of my trained staff who are doing interventions that are for disadvantaged children. If I didn’t have the Pupil Premium, I wouldn’t have those staff in school, because I couldn’t do it without it. Although I spend more than my Pupil Premium, it helps a bit to offset the cost.

On the other hand, the head very much appreciates the flexibility the Pupil Premium offers to use funding as she sees fit:

The best bit about Pupil Premium is when I looked back at one-to-one tuition money [a previous funding source], and think, we were given pots of money and you had to use it in this way, and account for it in this way, and it could only be used here…It had no impact at all. I can make my Pupil Premium money make life better in school. And there will be a long-lasting effect…

City Academy

City Academy (NWS1) is a recently opened academy serving an inner city area of high deprivation in the north west. Around half of its pupils are entitled to FSM, and it receives over £100K in Pupil Premium funding in an overall budget of some £5m. The leadership team in the school is clear that a large majority of its pupils are disadvantaged in some way, and not just those who are entitled to FSM. As at Seashore Primary, there is a sense that responding to its own definitions of disadvantage is therefore central to the school’s mission. As such, the school does not target Pupil Premium funding only on those pupils who attract it, and has an array of provision that is accessible on the basis of need. This provision includes: the employment of specialist professionals (such as a child welfare officer, a home
liaison worker, and a behaviour worker); the employment of TAs to work on SEN, and on one-to-one tuition; additional classroom teachers; a programme of enrichment activities; the purchase of uniform and equipment for children whose families cannot afford it; and additional educational psychologist time.

Overall, the school’s response to disadvantage takes the form of a commitment to enrichment activities, on the grounds that children in the area are offered a limited diet of activities in the neighbourhood and in their homes, together with a commitment to tackling whatever individual problems a pupil may be facing. Large numbers of pupils are regarded as disadvantaged and access provision, but there is also a careful matching of some forms of provision to individual needs. Pupil progress, engagement and behaviour are monitored closely so that interventions can be put in place as needed and at short notice. The same individual-level monitoring means that the outcomes of interventions can be identified. In addition to being able to identify overall trends in attendance, attainment and engagement, therefore, the school is able to identify how particular pupils progress as a result of this provision. This individual focus also means that the school bases its provision not just on its sense that all pupils might benefit from enrichment activities, but also on an assessment of what particular pupils need at particular times.

As at Seashore Primary, City Academy’s budget situation is complex. As a relatively new academy, the school does not yet have its full complement of pupils, employs relatively young – and therefore inexpensive – staff, and benefits from start-up funding. Its budget is not currently under pressure, and the Pupil Premium can be treated as a new source of income. As the principal explained, “the protection allowed by start-up funding means that Pupil Premium has been fully available for the purposes intended.” Moreover, City Academy has never relied on local authority services provided free, and its provision has been largely developed under the current funding regime rather than on the targeted funding streams that were in place prior to 2010. Given its highly disadvantaged population, it sees its response to disadvantage as an essential part of its core offer rather than as a series of optional and funding-dependent add-ons.

It is therefore difficult to say precisely which elements of its wide array of provision the Pupil Premium is spent on. Indeed, as was the case in Seashore Primary, the principal appreciates the flexibility he has to ‘juggle it around across funding streams’, in contrast to the more rigid requirements of ring-fenced funding schemes such as one-to-one tuition funding. Moreover, the school reports that it spends more than three times the amount it receives from the Pupil Premium on disadvantaged pupils. Overall, therefore, the funding does not lead the school to set up entirely new forms of provision, but it does enable it to offer a significant enhancement of the provision that would otherwise be made. As the principal puts it:
Pupil Premium can be looked at a little bit separately to improve the quality and quantity of provision and explore avenues for the future…It brings flexibility and refinement to provision.

In particular, the Pupil Premium has been used to increase the numbers of pupil support staff, to attract better-qualified TAs and teachers to work with disadvantaged pupils, to extend the programme of enrichment activities and to buy in specialist staff, notably in the form of educational psychologist time.

Despite this active response to the Pupil Premium, there are some anxieties for the future. The start-up funding is time-limited and the principal is clear that current staffing ratios will be unsustainable in the future. He believes this will be manageable provided no other funding sources are lost. If they are, the Pupil Premium might increasingly go to “filling the black hole.”

6.2 Vignettes for special schools and PRUs

Case study findings for special schools and PRUs are reported separately because their situations in relation to the Pupil Premium are in some cases quite different from those of mainstream schools. Special schools and PRUs already receive significantly higher levels of funding relative to mainstream schools to take into account the fact that they serve populations with significant educational needs. Those needs may be related to family background, and hence to family income or to looked-after status. However, in many cases – for instance, in the case of children with significant physical, sensory or cognitive impairments - these factors are of minor significance. Special schools and PRUs, moreover, are often small institutions, so that additional per-pupil funding is likely to add up to relatively small amounts that may constitute an even smaller proportion of the overall budget than is the case in mainstream schools. It is also very difficult to generalise across these types of institutions because their populations vary considerably - even when they have the same ‘label’ – in accordance with local admissions criteria and practice. Finally, local authorities have the option of retaining Pupil Premium funding for these institutions in order to achieve economies of scale.

For all of these reasons, our study of two special schools and two PRUs can offer no more than a snapshot of how the Pupil Premium was impacting on part of this sector. A more detailed and extensive investigation is needed to be sure of what is happening here. In the meantime, two further brief vignettes will illustrate some of the issues.

Upland School (WMSp1)
Upland is an all-age special school catering for children with ‘moderate’ learning difficulties, though increasingly many of its population have speech and language difficulties and more severe learning difficulties and/or have needs on the autistic spectrum. There are a little over 100 pupils on roll, of whom just over one third are entitled to FSM. All the pupils are statemented and have therefore been through intensive assessment of their needs. They all have detailed individual plans and progress is monitored regularly.

The value of Pupil Premium funding is currently just over £25K, which is a small proportion of the school’s overall budget of approximately £1.5m. The budget is relatively stable at this level, but this is because some savings have been made by replacing older teachers with younger, less expensive staff. There are uncertainties about how the budget will evolve in future and the head is therefore exercising careful financial management. Most of the Pupil Premium funding is pooled with other funding streams. However, the head has retained a small proportion because she is uncertain whether she will need to account for her use of the funding separately. There have been issues where pupils are funded by other local authorities and where staff from those authorities have attempted to tell the school how to spend the Pupil Premium funding attracted by the pupil.

The school regards all of its pupils as ‘disadvantaged’ and has a range of strategies – small class sizes, individualised programmes, intensive monitoring, close liaison with specialist services – in place for all of them. The head is able to present a detailed account of how Pupil Premium funding is spent, citing individual reading interventions, staff training, home-school liaison and the purchase of IT equipment amongst other things. The school also has evidence of how these interventions have impacted on pupils, particularly those in respect of whom the funding is allocated. However, these are part of a much wider range of developments the school has undertaken recently. Pupil Premium funding has enabled the school to put some interventions in place earlier than might otherwise have been the case, but has not changed its overall direction of travel.

**The Haven PRU (ILPRU1)**

The Haven educates just under 20 Key Stage 3 pupils, of whom around three quarters are entitled to FSM. All of its pupils have difficulties with the social demands of mainstream schools. Around half of them have statements of special educational needs, and there are often underlying special needs (such as learning difficulties) that the PRU feels have not been identified and responded to appropriately in their schools. They spend varying lengths of time in the Haven but usually not more than one year, so the PRU consequently has a very mobile population. Provision has many similarities to that in Upland School – intensive individual assessment, tuition
and monitoring, the involvement of specialist services, and a wide range of enrichment activities.

The Haven’s overall budget is over £600K, to which the Pupil Premium contributes only some £5K. This reflects both the small number of pupils who attract it and the high level of funding from other sources. Pupil Premium funding is not ring-fenced and is used to benefit all pupils. However, the head is aware that, “for Ofsted we have to say exactly where it’s gone and for it to be much more transparent,” and will allocate it to specific budget lines with this in mind. In this situation, it is difficult to say that the Pupil Premium has had a significant impact on what the PRU can provide, though it has contributed towards an Achievement for All programme focused on pupil’s academic skills and an extensive programme of enrichment activities focused on social skills. Since the amount of funding is insufficient to pay for any intervention on its own, it is difficult to monitor the impacts of it per se, though the Haven is able to show how its pupils progress and that outcomes overall are improving.

There are considerable uncertainties over the Haven’s future budget. Latterly, the PRU has gained some £40K of funding in order to educate children with complex needs, but reports that it has lost £100K as the Standards Fund has been rolled up into the delegated budget and as a support service part-funded by the local authority and delegated to the school has disappeared. The head expects to see a reduction in funding next year, as allocations are made on the basis of pupil numbers; the Haven has to start each year with surplus capacity so as to have places available as needed throughout the year.

6.3 Commentary

Although these four schools are in many ways very different from each other, it is clear that there are also some common themes. In each case, ‘disadvantage’ is defined broadly in a way that goes beyond the criteria for allocation of the Pupil Premium. Each school sees responding to disadvantage as part of its core business rather than as a marginal activity, and therefore has an established programme of provision. These programmes are coherent insofar as they appear to be based on an analysis of generic needs across the school population, supplemented by procedures for monitoring in detail the progress of individual pupils. These monitoring procedures also enable the schools to go some way towards identifying the impacts of their provision.

In this context, the Pupil Premium is a means of sustaining and enhancing schools’ programmes. In this capacity its role is invaluable, and schools appreciate the flexibility of the funding, which enables them to direct it to where they believe it is most needed. However, they spend more on disadvantage (as they define it) than
they receive in Pupil Premium funding, and that funding is not the principal driver of their provision. It follows that disaggregating Pupil Premium funding from the rest of their spend on disadvantage, in order to show precisely what it is used for and to demonstrate the effectiveness of that provision, is not straightforward – though the heads recognise the need to be accountable and can report its use in these terms if they are required to do so.

The schools are in somewhat different budgetary situations, both because they are different types of institution and because of a series of local factors. City Academy is in the most comfortable position and is therefore able to treat Pupil Premium funding as ‘new’ money. The others are experiencing varying degrees of budgetary pressure, and Seashore and Upland have had to manage these by savings on staff costs. However, all the schools are facing an uncertain future.

Finally, it is notable that, for all their differences, the responses of these four schools to the Pupil Premium are remarkably similar. Across primary and secondary phases, and across mainstream and special schools, the broad dimensions of how schools understand and respond to disadvantage, and how they use the Pupil Premium to sustain their provision remain much the same. This is also true of the case study sample as a whole and insofar as it is true of schools as a whole, it might indicate that there is considerable opportunity for schools that are engaged in essentially the same enterprise to learn from each other.
7. Overview and implications

The Pupil Premium is a relatively new funding stream, and the findings presented here represent a snapshot of how schools were making use of it at a particular point in time (over 2011-12 and 2012-13). The funding had not reached its final value, schools were still learning how best to deploy it, and further changes in the overall funding of schools were planned at the time of this study. It is appropriate, therefore, to be cautious about what can be concluded from these findings.

Nonetheless, there are some key findings which can be drawn from the survey, the financial analysis and the case studies. They are:

1. There is evidence that schools welcomed the introduction of the Pupil Premium and saw it as an important resource they could draw on in supporting their approaches to tackling educational disadvantage. They particularly appreciated the flexibility it gave them to fund the interventions they thought most useful, in the interests of their pupils. In addition, the availability of a dedicated funding stream for which they were accountable caused some schools to focus more clearly on the needs of disadvantaged pupils and offered some degree of protection to provision for those pupils.

2. For the most part, schools’ approaches were already well-established, and the introduction of the Pupil Premium enabled schools to maintain or enhance them. In most, but not all, cases, schools pooled it with other funds in support of these approaches. The amount of funding schools were deploying in this way was typically well in excess of their income from the Pupil Premium.

3. There was some evidence of new forms of provision being established following the introduction of the Pupil Premium. However, it is not clear whether this provision was additional to that already being made, or was simply an evolution of what had previously been in place, drawing on schools’ evidence as to what was effective in their contexts and the increased flexibility offered by the Premium.

4. A major determinant of how schools made use of the Pupil Premium was the state and trajectory of their overall budgets. Schools were reporting changes both in their own funding and in the need for them to pay for or buy replacements for services that had previously been accessible at no cost, for instance via the local authority. Some schools were doing well in this situation, and they were treating the Pupil Premium as additional funding. Many, however, were doing less well. They were using it to maintain forms of provision that had previously been funded from other sources. This appears to be the principal reason why the introduction of the Pupil Premium had not led
to a major expansion or rethinking of provision for disadvantaged pupils. In considering the future, there was a mixture of anticipation of the positive effects of an increase in the Pupil Premium’s value, and anxiety about the implications of further changes in school financing.

5. There was evidence that some schools had a strong and principled commitment to making provision for disadvantaged pupils. In line with this, many had recently increased their spending on this provision. By and large, they saw disadvantage as being more broadly defined than the criteria for the allocation of the Pupil Premium. They also felt that some children who met those criteria were, in fact, already doing well. Some schools experienced tensions, therefore, between their own understanding of which pupils were disadvantaged and what they perceived to be an external imperative that the Pupil Premium should be spent only on those pupils in respect of whom it was allocated.

6. Many schools appeared to have robust systems for assessing the needs in their populations and for determining what kinds of provision might meet those needs. Many also had apparently robust systems for monitoring the impact of provision. There is therefore reason to believe that there were many cases where the Pupil Premium was supporting provision that made a difference to pupil outcomes, though a full evaluation is needed to explore this issue more fully.

7. Schools tended to structure their provision around what their internal evidence told them was needed and what would be effective in tackling disadvantage. This meant that they treated external guidance and research evidence as more or less useful advice rather than as authoritative imperatives. This led many schools to experience some tension between what they believed they were expected to do by external authorities, and what they understood to be in the best interests of their pupils. Schools continued to act in accordance with the latter, but with some degree of anxiety about the consequences.

These findings give rise to a series of issues which might be considered in the further development of the Pupil Premium and of its use in schools:

- The Pupil Premium is playing an important role in enabling schools to tackle educational disadvantage. However, it is not used by schools as a stand-alone funding stream and is not sufficient to fund all of schools’ current provision for disadvantaged pupils – though that provision appears to be catering for a wider set of pupils than those eligible for the Pupil Premium. If that provision is to be maintained at current levels or expanded, therefore, it will be important to
take into account other changes that are happening to school funding and other demands that are being made on their budgets.

- There is a tension between the criteria that are used to allocate Pupil Premium funding and the criteria that have been used by schools to define and respond to educational disadvantage more generally. This is probably inevitable given that allocation mechanisms need to be simple whilst the nature of disadvantage is complex. However, schools could be given clearer messages about the distinction between the two, and about whether their targeting of the Pupil Premium is legitimate.

- Likewise, there is a tension between the forms of provision which schools believe to be necessary and effective using their professional judgement and experience, and their understandings of external expectations. The nature of these expectations, and the extent to which they are binding on schools, could be made clearer. Both this and the previous issue might be addressed by providing schools with clearer guidance (or re-iterating existing guidance) on what Pupil Premium funding is intended to be used for and what its aims are.

- The extent to which and in what ways schools should be held to account for their specific use of the Pupil Premium are important. Given that the Pupil Premium is often pooled with other funds and used to support a wide range of provision, simply asking schools how they use it is unlikely to produce an illuminating answer. A more nuanced inquiry into how they use all of their funding to maintain all of their provision for disadvantaged pupils would be more complex to undertake, but would be likely to reveal more. This has implications for Ofsted inspections, during which schools are asked about their use of the Pupil Premium.

- The ways academic research and schools’ own evidence might best be used to shape provision seem unclear. Academic research is likely to be relatively robust but cannot take into account the particular contexts of particular schools. Schools’ own evidence is likely to be less robust, but much more context-sensitive and familiar to them. The implication is that both forms of evidence are necessary, but schools may need, and should actively seek out, support in making appropriate use of both.

- Overall, there is a lack of clarity among schools over whether they are free to use the Pupil Premium as they see fit in the interests of their pupils, or whether they are expected to use it in ways that are directed externally. Currently, schools appreciate the flexibility the Pupil Premium has brought with it, but are uncertain to what extent they can make free use of that flexibility. Some clarification would be helpful. In making this clarification, however, thought has to be given to the likely impact of attempting to ring-fence (notionally or
practically) on schools’ capacity to make provision for a wide range of pupils they regard as disadvantaged.

- Schools’ systems for assessing needs in their population, for formulating responses to those needs, and for monitoring the impacts of provision often appear to be highly impressive. If schools are to use the flexibility offered by the Pupil Premium in the best interests of their pupils, they will all need to develop robust systems of this kind. However, there is considerable variation in how systems work, and it seems unlikely that they are all currently equally robust. Schools should be encouraged and supported to develop their capacity in this respect, with best practice disseminated across the system.

- Although there are some encouraging signs here, it is beyond the scope of this study to offer a full evaluation of the impact of the Pupil Premium. Further work is needed which might consider the impact of the policy overall, and might also explore the extent to which the approaches used by different schools are effective.

### 7.1 Future research

School performance data and, for more detail, NPD data can be used to look at the gap in attainment between pupils who attract Pupil Premium funding, and those who do not. The key aim of the Pupil Premium is to help close this gap in attainment between Pupil Premium eligible pupils and their peers – this data should therefore be monitored over the coming years to measure whether the gap is narrowing.

This in itself, of course, will not establish whether the Pupil Premium is responsible for any change, or whether other factors are at work. Nor will it establish whether particular ways of deploying the funding have differential effects. The monitoring of performance data, therefore, could usefully be combined with a more searching evaluation of the Pupil Premium’s impacts. This might involve a more detailed analysis of performance data, searching for differential effects by, for instance, levels of funding, school budget status and trajectory, and models of deployment (if these can be identified robustly). It might also involve detailed investigations to track the impacts of Pupil Premium funding in particular schools and to identify the most promising models of deployment.
Appendix 1: Survey sample composition and technical details

Sampling

Defining eligible sample

The eligible sample for the survey was taken from EduBase in summer 2012 by selecting the following types of establishment that were defined as being ‘open’ or ‘open but proposed to close’:

- Academy Converters
- Academy Special
- Academy Sponsor Led
- City Technology College
- Community School
- Community Special School
- Foundation School
- Foundation Special School
- Free Schools
- Free Schools - Alternative Provision
- Free Schools Special
- Pupil Referral Unit
- Studio Schools
- UTC
- Voluntary Aided School
- Voluntary Controlled School

Schools were then defined as either primary, secondary, special schools or PRUs based on the following criteria:

- Primary was defined as any school with PhaseOfEducation = Primary or Middle Deemed Primary;

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53 Some of these were special schools that had converted to academies and based on information supplied by DfE they were re-defined as “special converters”.
Secondary was defined as any school with PhaseOfEducation = Secondary or Middle Deemed Secondary + Sponsor led Academies, Academy converters and Free schools with no defined phase of education (as all of these had secondary aged pupils), and City Technology Colleges;

Special schools were defined as any school with TypeOfEstablishment = Community Special School, Foundation Special School, or Special Converter;

PRUs were just those with TypeOfEstablishment = PRU.

This gave an available sample of 21,443 schools: 16,813 primary schools, 3,265 secondary schools, 965 special schools, and 400 PRUs. A minority of schools within this had either no FSM pupils or an unknown number of FSM pupils (and were not known to receive Pupil Premium funding) and were therefore excluded from the available sample for the survey.

The survey aimed to achieve the following numbers of interviews in different sample groups:

<table>
<thead>
<tr>
<th>Sample type</th>
<th>Sample size aiming to achieve</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary – low FSM (up to 20%)</td>
<td>95</td>
</tr>
<tr>
<td>Primary – medium FSM (&gt;20% up to 35%)</td>
<td>265</td>
</tr>
<tr>
<td>Primary – high FSM (&gt;35%)</td>
<td>260</td>
</tr>
<tr>
<td>Secondary – low (up to 13%)</td>
<td>95</td>
</tr>
<tr>
<td>Secondary – medium (&gt;13% up to 35%)</td>
<td>200</td>
</tr>
<tr>
<td>Secondary – high (&gt;35%)</td>
<td>135</td>
</tr>
<tr>
<td>Special</td>
<td>80</td>
</tr>
<tr>
<td>PRU</td>
<td>70</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>1,200</strong></td>
</tr>
</tbody>
</table>

This intentionally over-represents primary and secondary schools with medium and high levels of FSM pupils and so disproportionate sampling was needed based on level of FSM pupils. This also over-represents secondary schools, special schools and PRUs so that different school types can be analysed separately.
Stratification

When selecting the sample, primary schools were stratified by:

- FSM level
- School size (greater than or less than 250 pupils)
- Whether academies or not
- Level of SEN pupils in the school (more or less than 10%)
- Level of pupils in the school with English as another language (more or less than 10%).

And secondary schools were stratified by:

- FSM level
- School size (greater than or less than 1,000 pupils)
- Whether academies or not.

Disproportionate sampling was done by FSM level but all other stratification variables were used to ensure the sample selected for the survey was representative of the population.

Special schools were stratified by:

- FSM level (more or less than 35%)
- School size (greater than or less than 80 pupils)
- Level of pupils in the school with English as another language (more or less than 10%).

And PRUs were stratified by:

- FSM level (more or less than 35%)
- School size (greater than or less than 30 pupils)

For special schools and PRUs there was no disproportionate sampling, all stratification variables were used to ensure the sample selected for the survey was representative of the population.

Selecting sample

Initially, 2,655 schools were selected (using simple random 1 in n selection within each strata), but a further 500 schools were selected (using the same method) during fieldwork when it seemed unlikely that the target of 1,200 interviews would be met from the original sample.
Once the sample had been selected, it was checked to ensure it was reasonably representative of the population of all schools in terms of:

- Establishment type (e.g. community school, voluntary aided school etc)
- Gender
- GOR
- School size
- Proportion of SEN pupils
- Proportion of EAL pupils
- Urban/rural location
- KS1 and KS4 attainment.

Response

Details of response rate are given in the introduction (section 1.3.2) but the table below shows the profile of interviewed schools was very close to the profile that the survey aimed to achieve when the sample was selected.

<table>
<thead>
<tr>
<th>Sample type</th>
<th>Sample size aiming to achieve</th>
<th>Sample size achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary – low FSM (up to 20%)</td>
<td>95</td>
<td>117</td>
</tr>
<tr>
<td>Primary – medium FSM (&gt;20% up to 35%)</td>
<td>265</td>
<td>285</td>
</tr>
<tr>
<td>Primary – high FSM (&gt;35%)</td>
<td>260</td>
<td>288</td>
</tr>
<tr>
<td>Secondary – low (up to 13%)</td>
<td>95</td>
<td>104</td>
</tr>
<tr>
<td>Secondary – medium (&gt;13% up to 35%)</td>
<td>200</td>
<td>201</td>
</tr>
<tr>
<td>Secondary – high (&gt;35%)</td>
<td>135</td>
<td>81</td>
</tr>
<tr>
<td>Special</td>
<td>80</td>
<td>99</td>
</tr>
<tr>
<td>PRU</td>
<td>70</td>
<td>65</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>1,200</strong></td>
<td><strong>1,240</strong></td>
</tr>
</tbody>
</table>
Composition of survey sample

The interviewed sample was made up of 690 primary schools, 386 secondary schools, 99 special schools, and 65 PRUs. This section compares the profiles of the schools included in the survey to schools nationally to see how representative the survey sample is.

Primary schools

Table A1 below compares the profile of primary schools in the survey to primary schools nationally. There are 3 different deprivation measures included: FSM eligibility; eligibility for the Pupil Premium; and IDACI\(^{54}\). As is to be expected these are closely linked – schools with higher levels of FSM pupils also have higher levels of pupils eligible for the Pupil Premium and have higher mean IDACI scores. This means that, as schools with higher levels of FSM pupils were over-represented in the survey, schools in the survey also have higher than average levels of Pupil Premium eligibility and higher IDACI scores. It is also interesting to note that the average proportion eligible for Pupil Premium funding (both for all schools and schools in the survey) is notably higher than the average proportion eligible for FSM. This is mostly due to Pupil Premium eligibility being extended to pupils who have been eligible for FSM in the last six years.

The intentional over sampling of schools with higher levels of FSM pupils has also caused the sample to be slight skewed in terms of:

- Having a slightly higher average level of pupils with unstatemented SEN – because pupils that are eligible for FSM are more likely than non-FSM pupils to have SEN (particularly SEN with no statement);
- Having slightly higher levels of unauthorised absence – because pupils that are eligible for FSM are more likely to have unauthorised absence;
- Having lower levels of pupils achieving expect levels at KS2 – because pupils that are eligible for FSM are less likely to achieve expected levels at KS2.

There were two other small differences between schools selected for the survey and schools nationally that were not related to the oversampling of schools with higher levels of FSM:

- Smaller primary schools were slightly under-represented;
- The schools in the survey had a slightly higher than average level of pupils with English as an additional language.

\(^{54}\) IDACI’ is an area-based index of deprivation affecting children. A score of 0.5 or higher means that the individual lives in an area where at least 50% of children live in households that are defined as income deprived.
**Table A1** Comparison of all primary schools in England to primary schools interviewed for survey

<table>
<thead>
<tr>
<th></th>
<th>All schools (n=16,813)</th>
<th>Survey sample (n=690)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Level of FSM</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Low (up to and including 20%)</td>
<td>66%</td>
<td>17%</td>
</tr>
<tr>
<td>Medium (more than 20% up to and including 35%)</td>
<td>19%</td>
<td>41%</td>
</tr>
<tr>
<td>High (more than 35%)</td>
<td>15%</td>
<td>42%</td>
</tr>
<tr>
<td><strong>Average % of FSM pupils</strong></td>
<td>18%</td>
<td>32%</td>
</tr>
<tr>
<td><strong>Average % of pupils eligible for Pupil Premium</strong></td>
<td>22%</td>
<td>37%</td>
</tr>
<tr>
<td><strong>Mean IDACI score for pupils in school</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less than 0.1</td>
<td>24%</td>
<td>6%</td>
</tr>
<tr>
<td>0.1 to less than 0.2</td>
<td>35%</td>
<td>14%</td>
</tr>
<tr>
<td>0.2 to less than 0.3</td>
<td>18%</td>
<td>23%</td>
</tr>
<tr>
<td>0.3 to less than 0.5</td>
<td>20%</td>
<td>45%</td>
</tr>
<tr>
<td>0.5 or more</td>
<td>4%</td>
<td>12%</td>
</tr>
<tr>
<td><strong>Academies</strong></td>
<td>3%</td>
<td>2%</td>
</tr>
<tr>
<td><strong>Size</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less than 100 pupils</td>
<td>14%</td>
<td>6%</td>
</tr>
<tr>
<td>100 to 199 pupils</td>
<td>25%</td>
<td>30%</td>
</tr>
<tr>
<td>200 to 399 pupils</td>
<td>45%</td>
<td>48%</td>
</tr>
<tr>
<td>400 pupils or more</td>
<td>15%</td>
<td>17%</td>
</tr>
<tr>
<td><strong>SEN</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Average % of pupils with statemented SEN 1 2
Average % of pupils with SEN but no statement 18 22
Average % of pupils with **EAL** 13 20

**Absence**

Average % of pupils absent for 5% + sessions 3 6
Average % of pupils absent for 10% + sessions 1 2

**KS2**

Average % of pupils achieved expected level in English test 82 77
Average % of pupils achieved expected level in maths test 81 77
Average % of pupils achieved expected level in English TA 82 76
Average % of pupils achieved expected level in maths TA 83 77
Average % of pupils achieved expected level in science TA 86 79

*Base: All primary schools (16,813) and all primary schools that took part in the survey (690)*

**Secondary schools**

Secondary schools with higher levels of FSM pupils were also intentionally oversampled and this again led the survey sample to be slightly skewed in terms of:

- Having higher than average proportions of pupils eligible for Pupil Premium funding;
- Having higher than average mean IDACI scores;
- Having a slightly higher average level of pupils with unstatemented SEN – because pupils that are eligible for FSM are more likely than non-FSM pupils to have SEN (particularly SEN with no statement);
- Having slightly higher levels of unauthorised absence – because pupils that are eligible for FSM are more likely to have unauthorised absence;
- Having lower levels of pupils achieving expect levels at KS4 – because pupils that are eligible for FSM are less likely to achieve expected levels at KS4.
Otherwise the profile of schools in the survey was similar to the profile of secondary schools nationally. This is shown in table A2.

The difference between the average proportion of pupils eligible for FSM and the average proportion of pupils eligible for Pupil Premium funding (both for all schools and schools in the survey) is much bigger for secondary schools than for primary schools.
<table>
<thead>
<tr>
<th></th>
<th>All schools (n=3,265)</th>
<th>Survey sample (n=386)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Level of FSM</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Low (up to and including 13%)</td>
<td>54%</td>
<td>27%</td>
</tr>
<tr>
<td>Medium (more than 13% up to and including 35%)</td>
<td>34%</td>
<td>52%</td>
</tr>
<tr>
<td>High (more than 35%)</td>
<td>9%</td>
<td>21%</td>
</tr>
<tr>
<td><strong>Average % of FSM pupils</strong></td>
<td>16%</td>
<td>23%</td>
</tr>
<tr>
<td><strong>Average % of pupils eligible for Pupil Premium</strong></td>
<td>28%</td>
<td>37%</td>
</tr>
<tr>
<td><strong>Mean IDACI score for pupils in school</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less than 0.1</td>
<td>11%</td>
<td>4%</td>
</tr>
<tr>
<td>0.1 to less than 0.2</td>
<td>35%</td>
<td>21%</td>
</tr>
<tr>
<td>0.2 to less than 0.3</td>
<td>24%</td>
<td>32%</td>
</tr>
<tr>
<td>0.3 to less than 0.5</td>
<td>26%</td>
<td>35%</td>
</tr>
<tr>
<td>0.5 or more</td>
<td>4%</td>
<td>8%</td>
</tr>
<tr>
<td><strong>Academies</strong></td>
<td>41%</td>
<td>39%</td>
</tr>
<tr>
<td><strong>Size</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less than 600 pupils</td>
<td>14%</td>
<td>18%</td>
</tr>
<tr>
<td>600 to 999 pupils</td>
<td>37%</td>
<td>40%</td>
</tr>
<tr>
<td>1,000 to 1,499 pupils</td>
<td>37%</td>
<td>35%</td>
</tr>
<tr>
<td>1,500 pupils or more</td>
<td>9%</td>
<td>6%</td>
</tr>
<tr>
<td><strong>Proportion that have a sixth form</strong></td>
<td>61%</td>
<td>58%</td>
</tr>
</tbody>
</table>
SEN
Average % of pupils with statemented SEN  2  2
Average % of pupils with SEN but no statement  21  25
Average % of pupils with **EAL**  13  17

Absence
Average % of pupils absent for 5% + sessions  7  9
Average % of pupils absent for 10% + sessions  3  4

KS4
Average % of pupils achieved 5 A* - C grades  79  77
Average % achieved 5 A* - C grades (inc GCSE Eng & maths)  55  49
Average % of pupils achieved 5 A* - G grades  95  94
Average % achieved 5 A* - G grades (inc GCSE Eng & maths)  94  92

*Base: All secondary schools (3,265) and all secondary schools that took part in the survey (386)*

Special schools
No disproportionate sampling was used for special schools. However, differential response meant that schools with low levels of FSM pupils were slightly under-represented in the survey sample. Otherwise the profile of special schools in the survey is very similar to the profile of all special schools in England, as shown in table A3.
**Table A3** Comparison of all special schools in England to special schools interviewed for survey

<table>
<thead>
<tr>
<th></th>
<th>All schools (n=965)</th>
<th>Survey sample (n=99)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Level of FSM</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Low (up to and including 20%)</td>
<td>12%</td>
<td>6%</td>
</tr>
<tr>
<td>Medium (more than 20% up to and including 35%)</td>
<td>37%</td>
<td>49%</td>
</tr>
<tr>
<td>High (more than 35%)</td>
<td>51%</td>
<td>46%</td>
</tr>
<tr>
<td><strong>Average % of FSM pupils</strong></td>
<td>37%</td>
<td>37%</td>
</tr>
<tr>
<td><strong>Average % of pupils eligible for Pupil Premium</strong></td>
<td>51%</td>
<td>50%</td>
</tr>
<tr>
<td><strong>Mean IDACI score for pupils in school</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less than 0.1</td>
<td>1%</td>
<td>0%</td>
</tr>
<tr>
<td>0.1 to less than 0.2</td>
<td>28%</td>
<td>32%</td>
</tr>
<tr>
<td>0.2 to less than 0.3</td>
<td>35%</td>
<td>38%</td>
</tr>
<tr>
<td>0.3 to less than 0.5</td>
<td>34%</td>
<td>30%</td>
</tr>
<tr>
<td>0.5 or more</td>
<td>2%</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Academies</strong></td>
<td>4%</td>
<td>3%</td>
</tr>
<tr>
<td><strong>Size</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less than 80 pupils</td>
<td>46%</td>
<td>41%</td>
</tr>
<tr>
<td>80 pupils or more</td>
<td>54%</td>
<td>59%</td>
</tr>
<tr>
<td>Proportion that have a <strong>sixth form</strong></td>
<td>48%</td>
<td>46%</td>
</tr>
</tbody>
</table>
**SEN**

Average % of pupils with statemented SEN  
98 98

Average % of pupils with SEN but no statement  
2 2

Average % of pupils with EAL  
11 10

**Absence**

Average % of pupils absent for 5% + sessions  
9 10

Average % of pupils absent for 10% + sessions  
6 6

*Base: All special schools (965) and all special schools that took part in the survey (99)*

**PRUs**

PRUs were also sampled proportionately but again, due to differential response there were some small differences between the interviewed sample and all PRUs in England: PRUs with lower levels of FSM pupils were under-represented; and smaller PRUs were under-represented. Otherwise the profile of PRUs in the survey is similar to PRUs nationally. This is shown in table A4.

<table>
<thead>
<tr>
<th>Level of FSM</th>
<th>All schools (n=400)</th>
<th>Survey sample (n=65)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unknown</td>
<td>5</td>
<td>0</td>
</tr>
<tr>
<td>Low (up to and including 20%)</td>
<td>36</td>
<td>15</td>
</tr>
<tr>
<td>Medium (more than 20% up to and including 35%)</td>
<td>21</td>
<td>31</td>
</tr>
<tr>
<td>High (more than 35%)</td>
<td>39</td>
<td>54</td>
</tr>
</tbody>
</table>

Average % of FSM pupils  
32 40

*Table A4  Comparison of all PRUs in England to PRUs interviewed for survey*
Mean IDACI score for pupils in school

<table>
<thead>
<tr>
<th>Category</th>
<th>School 1</th>
<th>School 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 0.1</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>0.1 to less than 0.2</td>
<td>16</td>
<td>14</td>
</tr>
<tr>
<td>0.2 to less than 0.3</td>
<td>30</td>
<td>32</td>
</tr>
<tr>
<td>0.3 to less than 0.5</td>
<td>44</td>
<td>49</td>
</tr>
<tr>
<td>0.5 or more</td>
<td>6</td>
<td>3</td>
</tr>
</tbody>
</table>

Size

<table>
<thead>
<tr>
<th>Category</th>
<th>School 1</th>
<th>School 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 10 pupils</td>
<td>33</td>
<td>17</td>
</tr>
<tr>
<td>10 to 39 pupils</td>
<td>35</td>
<td>42</td>
</tr>
<tr>
<td>40 pupils or more</td>
<td>28</td>
<td>42</td>
</tr>
</tbody>
</table>

SEN

<table>
<thead>
<tr>
<th>Category</th>
<th>School 1</th>
<th>School 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average % of pupils with statemented SEN</td>
<td>13</td>
<td>13</td>
</tr>
<tr>
<td>Average % of pupils with SEN but no statement</td>
<td>67</td>
<td>63</td>
</tr>
</tbody>
</table>

Average % of pupils with EAL

<table>
<thead>
<tr>
<th>Category</th>
<th>School 1</th>
<th>School 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>EAL</td>
<td>5</td>
<td>5</td>
</tr>
</tbody>
</table>

Base: All PRUs (400) and all PRUs that took part in the survey (65)

Weighting

Weighting was required to correct for disproportionately over sampling schools with higher levels of FSM pupils. Once this had been applied, the sample of interviewed schools was compared to the population of all schools using the following:

- Size of school
- Whether academies or not

Although only primary and secondary schools were disproportionately selected, special schools and PRUs with higher levels of FSM pupils tended to be more likely to take part in the survey, so the weight based on FSM corrects for both disproportionate sampling and differential response amongst schools with higher and lower levels of FSM pupils.
- Proportion of SEN pupils
- Proportion of EAL pupils
- GOR
- Urban/rural location.

The interviewed sample was found to be sufficiently close to the population of schools on these measures that it was decided no further weighting was required. Therefore the only weights applied were as follows:

<table>
<thead>
<tr>
<th>Sample type</th>
<th>Weight applied</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary – low FSM (up to 20%)</td>
<td>3.9119</td>
</tr>
<tr>
<td>Primary – medium FSM (&gt;20% up to 35%)</td>
<td>0.4714</td>
</tr>
<tr>
<td>Primary – high FSM (&gt;35%)</td>
<td>0.3518</td>
</tr>
<tr>
<td>Secondary – low (up to 13%)</td>
<td>2.0594</td>
</tr>
<tr>
<td>Secondary – medium (&gt;13% up to 35%)</td>
<td>0.6761</td>
</tr>
<tr>
<td>Secondary – high (&gt;35%)</td>
<td>0.4368</td>
</tr>
<tr>
<td>Special – low FSM (up to 20%)</td>
<td>2.0518</td>
</tr>
<tr>
<td>Special – medium FSM (&gt;20% up to 35%)</td>
<td>0.7566</td>
</tr>
<tr>
<td>Special – high FSM (&gt;35%)</td>
<td>1.1148</td>
</tr>
<tr>
<td>PRU – low FSM (up to 20%)</td>
<td>2.4461</td>
</tr>
<tr>
<td>PRU – medium FSM (&gt;20% up to 35%)</td>
<td>0.7184</td>
</tr>
<tr>
<td>PRU – high FSM (&gt;35%)</td>
<td>0.7526</td>
</tr>
</tbody>
</table>

The weighted survey sample is not representative is in terms of school phase and type – secondary schools, special schools and PRUs are all over-represented and primary schools are under-represented. This was intentional so that different types of school can be analysed separately. There has been no attempt to weight for this as, throughout the report, results for primary schools, secondary schools, special schools and PRUs are never combined but are presented separately, and no analysis has been conducted at an ‘all schools’ level.
Appendix 2: Case studies further details and protocol

Further details

The survey findings provide a detailed account of how schools reported their use of the Pupil Premium and their spending on disadvantaged pupils. However, their budgeting processes tend to be complex, with multiple funding streams used to support multiple activities. This may make it difficult for them to say definitively what any given funding stream is spent on. Likewise, they may operate with complex definitions of disadvantage, and deploy a wide range of interventions and strategies which they expect to impact on disadvantage in indirect ways. Whilst responses to survey questions, therefore, are invaluable for capturing the surface features of how schools are responding to the Pupil Premium nationally, there is always the danger that they will over-simplify the complexity of what is happening in individual schools.

The case study element of this study sought to answer essentially the same questions as the survey (though see the protocol presented below for a full set of research questions). However, it was designed specifically to probe beneath the surface of schools’ accounts in order to understand the relationships between the Premium, the other forms of funding streams to which the school had access, and the provision the school made to tackle educational disadvantage. The strategic overviews provided by head teachers were, therefore, cross-checked with the views of other professionals involved in managing Pupil Premium. They were also set against a more detailed investigation of how different forms of provision were funded, and how the range of provision had changed with the advent of Pupil Premium. Schools were probed on their definitions of ‘disadvantage’ and the composition of groups of pupils accessing different forms of provision was sought. As a means of getting beyond case study schools’ initial definitions of disadvantage, a group of school professionals outside the case study sample were asked to write vignettes of pupils who benefitted from Pupil Premium in their schools, and these were synthesised into a set of ‘types’ of pupil. Interviewees in case study schools were then asked to describe the provision they made for pupils of each ‘type’.

In most respects, the findings from the case studies confirm those from the survey. However, they also elaborate them and uncover complexities in schools’ use of the Pupil Premium which have significant implications for policy and practice. Where survey and case study findings diverge, this may be because of the nature of the case study sample. Although every effort was made to identify a sample that was likely to be diverse in terms of schools’ approaches to tackling educational disadvantage and their use of the Pupil Premium, the fact remains that all of the schools had volunteered to take part in a somewhat demanding study. It is possible
that schools which felt themselves to be under particular pressures, or which felt particularly uncertain about the issues around the Premium would have been more likely to decline the offer of participation. It is also worth bearing in mind that the case studies were undertaken in the 2012/13 school year, and that informants were typically talking about the current situation in their schools and their projections for 2013/14 and beyond. The case study data therefore relate to a slightly later period than the survey and financial analysis data. Given the rapid changes in school finances, this may have produced somewhat different (and, in financial terms, less sanguine) responses.

The protocol

Purposes

The purpose of the case study element of this evaluation is to complement the survey research by conducting a more in-depth exploration of how schools are using the Pupil Premium. Specifically, the case studies seek to answer the following questions:

- How have decisions about spending of Pupil Premium funding been made?
- What are the sampled schools spending their Pupil Premium funding on?
- Did the schools have any programmes aimed at helping pupils eligible for FSM and/or Looked After and/or otherwise disadvantaged children prior to the Pupil Premium?
- Exactly who has the Pupil Premium funding been targeted at?
- What has happened as a result of Pupil Premium spending and what is the evidence for this? Why do schools think the reported impacts have happened?
- What procedures have schools put in place to monitor the impacts of Pupil Premium spending?
- What do schools plan to do with the funding next year?
- How has use of Pupil Premium funds been communicated to parents?
- Has the Pupil Premium funding been internally ring fenced or pooled with general funds?
- Has all the funding been spent in the financial year it was received or have schools saved some?
- Have schools leveraged Pupil Premium funds with other funds?
- What proportion of total school funds do Pupil Premium funds represent?
- Have schools received an increase in total funding as a result of the Premium? If so, by what proportion?
- Do the case study findings suggest areas for further research?

**Conducting the fieldwork**

Field work is likely to take an average of two days per setting. Where possible, these days should be split so that there is an opportunity to arrange the most appropriate additional interviews at the end of the first day.

Prior to fieldwork, as much information as possible should be collected from publicly-available sources and school-supplied documentation. A preliminary discussion with the head (or nominated colleague) to explain the process is advisable. Heads should be sent the financial data collection sheet (as used in the financial analysis component of the evaluation) and a copy of the research questions (see the ‘Purposes’ section of this protocol) in advance.

All interviews use the same topic guide and set of prompts (see below). However, different interviews will focus on different issues. Interviews with heads/SLT members should focus on strategic issues, interviews with school business managers on detailed financial information, and interviews with other staff on the detail of particular aspects of provision.

The *initial interview* should be with the head or nominated member of the SLT. Where possible, the school business manager (or equivalent) should be present, or on call, or available afterwards to clarify financial information.

When the initial interview is complete, the head or nominee should be consulted about who else might be interviewed. The aim is to interview people in and around the school who can give a detailed account of how, precisely, Pupil Premium is used and how it is expected to improve outcomes for disadvantaged groups. Possible interviewees, therefore, include:

- Members of the school staff who manage Pupil Premium-funded provision (especially if they hold a budget for this, though not if they simply deliver provision without being involved in making strategic decisions about how it is targeted, what its aims are etc.). Examples might include the SENCO, the interventions manager, the extended services co-ordinator.

- Governors if they are involved in strategic decisions about the Premium.

- Co-ordinators etc. of any inter-school provision (e.g. at cluster, federation, trust level) drawing on the Premium.
- Local authority officers if they are involved in the school’s strategic decisions about the Premium (NB for PRUs and special schools this group is likely to be particularly important).

Interviews should be audio-recorded where possible. Full transcription is not necessary, but detailed field notes with extended quotes should be produced.

**Writing up**

A case study account of the school’s use of the Premium should be produced on the basis of the field notes and any additional information collected. Edited versions of these accounts should be returned to the head (or nominated colleague) for checking.

**Interview topic guide**

**Notes**

1. These interviews will be semi-structured. Interviewers will need to make a judgement about whether to vary the order of questioning and how far to allow interviewees to follow their own train of thought.

2. The ‘Reasons for provision display sheet’ (below) is intended as an aide memoire for interviewer and interviewee. It shows the main reasons why schools might make additional or different provision for pupils (and, by implication, the characteristics of pupils for whom provision is made). This is a prompt only, and is not intended as a robust categorisation of pupils or forms of provision (hence the overlaps and interactions), so it should be used flexibly. It will be important to decide during the interview when to collect information on each form of provision separately, and when to generalise across types.

3. This topic guide is intended for use with all interviewees. However, it is not necessary to ask every question to every interviewee, provided that all of the necessary information is elicited in the course of the fieldwork.

**Topics and prompts**

- What kind of provision does the school make for disadvantaged pupils?
  - Does the school operate with an overarching definition of ‘disadvantage’?
  - Show the reasons for provision display sheet. Ask:
    - Does the school make additional or different provision for pupils for each of these reasons?
- If so, what is this provision? (Quantify where possible)
- How many disadvantaged pupils benefit from this provision (approximately)?
- How many other pupils benefit (approximately)?
- How are pupils identified who access this provision?

- How is this provision expected to improve disadvantaged pupils’ outcomes (i.e. what is the theory of change)?
  - What outcomes are intended?
  - What impacts is provision expected to have in order to produce these outcomes?
  - What evidence of impacts and outcomes already exists?
  - How are these impacts and outcomes monitored?

- How is this provision funded?
  - Are there targeted funding streams?
  - Are different funding streams pooled into a single budget?
  - Are there any unfunded resources (e.g. volunteers, other agencies)?

- Is any provision or funding managed beyond the school level?
  - Is any managed e.g. at local authority, cluster, trust or chain level?
  - Is there a special vehicle for managing provision and/or funding (e.g. a not-for-profit company)?

- How has provision changed from what was available the year before the Pupil Premium was introduced?
  - Why have these changes happened?
  - How will provision change next year?

- How has the funding for this provision changed? What has happened to:
  - The overall school budget?
  - The proportion of the budget devoted to provision for disadvantaged pupils?
  - Targeted streams?
  - Unfunded resources?

- How does Pupil Premium funding fit into this picture?
  - Is it ring-fenced or pooled with other funds?
  - Is it spent exclusively on disadvantaged pupils or do others also benefit?
  - What specific provision (if any) does it fund?
- What would you stop doing if Pupil Premium funding ceased?
- What change has it produced? What are the positives and negatives of these changes?
- How accurately does Pupil Premium match the pattern of disadvantage in the school population (e.g. are there many families who do not claim FSM, or some forms of disadvantage not associated with FSM or LAC status)?
- How (if at all) has the availability of Pupil Premium impacted on other funding streams (e.g. has it made it possible to leverage new funding, or has it reduced the necessity for seeking other funding)?
- What changes do you anticipate as Pupil Premium increases in value?
- How are the impacts of Pupil Premium monitored?
- How are decisions about the use of Pupil Premium made
  - Which members of school staff are involved?
  - How far are governors involved?
  - Who else is involved (e.g. local authority officers, representatives of trusts, federations, clusters)?
- How are parents informed about the Pupil Premium?
Reasons for provision display sheet

**Does the school make provision for pupils for any of these reasons?**

- **New arrival (and EAL) issues**
  - e.g., where pupils need support to settle into a new environment in terms of language, culture, and school life.

- **Diagnosable difficulty** — e.g., autism, dyslexia, ADHD
  - e.g., where pupils have a specific diagnosable reason for the difficulties they experience.

- **Borderline attainment**
  - e.g., where pupils are marginally behind and need extra support to make sure they hit expected levels.

- **Significant overall low achievement**
  - e.g., where pupils are a long way behind national expectations — probably with poor basic academic and social skills and trouble accessing the curriculum.

- **Enrichment opportunities**
  - e.g., where pupils — whatever their academic level — need support to access extra-curricular opportunities and increase their range of experiences.

- **Other reasons**
  - Where provision is made for reasons other than those listed here.
# Appendix 3: Case study sample characteristics

*Case study sample: mainstream schools (organised by region and phase)*

<table>
<thead>
<tr>
<th>Region</th>
<th>School identifier</th>
<th>Phase</th>
<th>Size</th>
<th>Type</th>
<th>LA</th>
<th>Rural/urban</th>
<th>seaside town?</th>
<th>Ofsted grade</th>
<th>FSM</th>
<th>BME</th>
<th>Attainment</th>
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**Case study special schools and PRUs**

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<th>Type</th>
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# Appendix 4: Datasheet

## Evaluation of Pupil Premium

### Finance Datasheet

This form outlines some of the information that the interview will cover. It would be very helpful if you could fill in the information on this sheet before the interview. Please keep hold of this form after you have completed it. When an interviewer calls they will ask you for the information on this form.

**PLEASE DO NOT RETURN THIS FORM TO THE DEPARTMENT FOR EDUCATION, TECIS OR TNS BMRB**

### Instructions for completion

Please complete each line of this datasheet for the years 2010/11, 2011/12, and 2012/13 by writing your answers in the relevant boxes.

In some cases information has already been derived from the Consistent Financial Reporting (CFR) Framework and refers to financial years – 1 April – 31 March. Where we have this information we have printed "already have this info" in the relevant box, so you do not need to complete this. You may already have provided the information for 2011/12 but it was not available to us at the time of printing this datasheet. We apologise for asking for this information again.

If possible, please provide your answers for financial years. If you only have some information for academic years (1 September – 31 August), please give an answer for the academic year. In the final column please tick the appropriate box to indicate whether the information you have provided refers to financial years or academic years.

If you are unsure of exact amounts, we would appreciate an approximate answer rather than leaving a question blank. We’ll be using this data to look at spending on different areas in different years across a large sample of schools (not to look in detail at individual school records), so it does not matter whether spending across the areas exactly adds up to the school’s budget.

If you are unable to give an answer for some of the boxes below (i.e. if the school does not hold this information), then please leave them blank or write ‘don’t know’. When an interviewer calls you and asks for the information from this datasheet, you will be able to say you don’t know the answers to individual questions.

We understand that you are only part-way through 2012/13 but we would be grateful if you could give us the expected amounts. We recognise that circumstances change during the year and we would not expect that these amounts will correspond exactly with those that you will subsequently report under CFR.

**If you have any questions about how to complete this questionnaire**

Please contact TNS BMRB on:

<table>
<thead>
<tr>
<th>Year</th>
<th>Category</th>
<th>Amount</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010/11</td>
<td>Category1</td>
<td>12345</td>
<td></td>
</tr>
<tr>
<td>2011/12</td>
<td>Category2</td>
<td>67890</td>
<td></td>
</tr>
<tr>
<td>2012/13</td>
<td>Category3</td>
<td>45678</td>
<td></td>
</tr>
</tbody>
</table>

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130
### Basic Information:

<table>
<thead>
<tr>
<th></th>
<th>2010/11</th>
<th>2011/12</th>
<th>2012/13 (expected)</th>
<th>Info provided for financial years or academic years?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Number of pupils</td>
<td></td>
<td></td>
<td>Financial: []; Academic: []</td>
</tr>
<tr>
<td>2</td>
<td>% eligible for FSM</td>
<td></td>
<td></td>
<td>Financial: []; Academic: []</td>
</tr>
</tbody>
</table>

### Total Income and Expenditure:

<table>
<thead>
<tr>
<th></th>
<th>2010/11</th>
<th>2011/12</th>
<th>2012/13 (expected)</th>
<th>Info provided for financial years or academic years?</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Revenue balance brought forward from previous year (please indicate if negative)</td>
<td></td>
<td></td>
<td>Financial: []; Academic: []</td>
</tr>
<tr>
<td>4</td>
<td>Total current income from all statutory sources (Grant Funding) included in the returns submitted under the CFR Framework[^56]</td>
<td></td>
<td></td>
<td>Financial: []; Academic: []</td>
</tr>
</tbody>
</table>

[^56]: Line 4: The CFR defines this income as “Grant funding”. It consists of items such as: funds delegated by the LA; funding for 6th form students; SEN funding; funding for minority ethnic pupils; Standards Fund; other government grants; other grants and payments; SSG pupil focussed; pupil focussed extended school funding and/or grants; and pupil premium.
5 Total current income from all other sources (self-generated income) included in the returns submitted under the CFR Framework\(^{57}\)

<table>
<thead>
<tr>
<th></th>
<th>2010/11</th>
<th>2011/12</th>
<th>2012/13 (expected)</th>
<th>Info provided for financial years or academic years?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Financial</td>
<td>Academic</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6 Total school expenditure from current income and reserves\(^{58}\) included in the returns submitted under the CFR Framework

<table>
<thead>
<tr>
<th></th>
<th>2010/11</th>
<th>2011/12</th>
<th>2012/13 (expected)</th>
<th>Info provided for financial years or academic years?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Financial</td>
<td>Academic</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Specific items of expenditure – please see table on last page for details of how to define these:**

7 School expenditure from current income and reserves expected to benefit disadvantaged pupils: actions focused on learning in the curriculum\(^{59}\)

<table>
<thead>
<tr>
<th></th>
<th>2010/11</th>
<th>2011/12</th>
<th>2012/13 (expected)</th>
<th>Info provided for financial years or academic years?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Financial</td>
<td>Academic</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

8 School expenditure from current income and reserves expected to benefit disadvantaged pupils: actions focused on social, emotional and behavioural issues

<table>
<thead>
<tr>
<th></th>
<th>2010/11</th>
<th>2011/12</th>
<th>2012/13 (expected)</th>
<th>Info provided for financial years or academic years?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Financial</td>
<td>Academic</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

9 School expenditure from current income and reserves expected to benefit disadvantaged pupils: actions focused on enrichment beyond the curriculum

<table>
<thead>
<tr>
<th></th>
<th>2010/11</th>
<th>2011/12</th>
<th>2012/13 (expected)</th>
<th>Info provided for financial years or academic years?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Financial</td>
<td>Academic</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

57 Line 5: The CFR defines this income as “Self-generated income”. It consists of items such as: income from facilities and services; receipts from other insurance claims; income from contributions to visits etc.; donations and/or private funds.

58 Lines 6-12: Most of this expenditure will be recurrent expenditure (that is, expenditure, which does not result in the creation or acquisition of fixed assets) such as salaries and purchase of other goods and services for current use. However, some of the expenditure may be capital expenditure such as the purchase of a vehicle or renovation of a building. The critical feature is that it should be financed from current income or reserves.

59 Lines 7-12: We would like to know how much you have spent on various types of provision to help your disadvantaged pupils. We understand that these amounts may not be separately itemised in your accounts but we would appreciate your best estimates. **PLEASE DO NOT RESTRICT YOURSELF TO PROVISION FINANCED BY PUPIL PREMIUM.** You may think that some areas of spending could fit into more than one of these lines – please pick whichever you think is the best fit and include the money you have spent in that line, please DO NOT include the same money spent in more than one line.
<table>
<thead>
<tr>
<th></th>
<th>School expenditure from current income and reserves expected to benefit disadvantaged pupils:</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>actions focused on families and communities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>School expenditure from current income and reserves expected to benefit disadvantaged pupils: alternative learning pathways and curricula</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>School expenditure from current income and reserves expected to benefit disadvantaged pupils: other</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Please write in what this ‘other’ expenditure is:
<table>
<thead>
<tr>
<th></th>
<th>2010/11</th>
<th>2011/12</th>
<th>2012/13 (expected)</th>
<th>Info provided for financial years or academic years?</th>
</tr>
</thead>
</table>
| 13 | School expenditure on all services provided by the LA that had been provided free of charge in the previous year
   |         |         |                   | Financial □ Academic □ |
| 14 | Total expenditure for the benefit of school pupils that is not included in the returns submitted under the CFR Framework
   |         |         |                   | Financial □ Academic □ |

### Specific items of income

<table>
<thead>
<tr>
<th></th>
<th>2010/11</th>
<th>2011/12</th>
<th>2012/13 (expected)</th>
<th>Info provided for financial years or academic years?</th>
</tr>
</thead>
</table>
| 15 | Total school income from pupil premium
   |         | N/A     |                   | Financial □ Academic □ |
| 16 | Total income included in the returns submitted under the CFR Framework that is used to benefit pupils other than those in the school
   |         |         |                   | Financial □ Academic □ |

THANK YOU FOR COMPLETING THIS FORM - PLEASE KEEP THIS FORM TO HELP YOU WITH THE INTERVIEW.

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60 Line 13: Please include **only the additional** cost of services that you received free of charge in the preceding year. For example, if you received 10 hours of Educational Psychologist time the year before and then decided to commission 15 hours in the current year for which you are charged, please include only the cost of 10 hours. If you do not pay for any services from the Local Authority, please enter £0 here.

61 Line 14: These funds may be managed by a body such as a community organisation, a company limited by guarantee, or a charity. Please provide this information if (a) your school does not pay for these services and (b) your school has some role in managing this funding (by having a member of the school staff on the Board, for example).

62 Line 16: If you hold the budget for your cluster of schools (or for any other grouping) please include the total amount of this budget here.
**Definitions of specific items of expenditure:**

<table>
<thead>
<tr>
<th>Type of Provision</th>
<th>Definition</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>7 Actions focused on learning in the</td>
<td>These actions are intended to affect directly performance in the classroom. They may include: one-to-one tuition; small-group teaching; additional in-class support; homework clubs; special arrangements for monitoring progress; reduced class sizes; teaching assistants; peer tutoring/peer-assisted learning; provision of materials/equipment; Reading Recovery; support for EAL.</td>
<td>Please include all costs incurred in the delivery of this provision. These costs may include: staff time (including on-costs); staff development; additional books; special equipment; assessment materials; premises; services bought in from external providers.</td>
</tr>
<tr>
<td>curriculum</td>
<td></td>
<td>If some actions are financed by voluntary parental contributions but you subsidise them for the benefit of disadvantaged pupils, please tell us only the cost of the subsidy for these actions.</td>
</tr>
<tr>
<td>8 Actions focused on social, emotional</td>
<td>These actions are intended to address barriers to learning. This may include: interventions from an educational psychologist; one-to-one counselling; nurture groups; health information and advice; CAMHS; behaviour support programmes; social skills training.</td>
<td>Please include all costs incurred in the delivery of this provision. These costs may include: staff time (including on-costs); staff development; special equipment; assessment materials; premises; services bought in from external providers.</td>
</tr>
<tr>
<td>and behavioural issues</td>
<td></td>
<td>Some of these activities usually require a financial contribution from parents. If you subsidise these activities for the benefit of disadvantaged pupils, please tell us only the cost of the subsidy.</td>
</tr>
<tr>
<td>9 Actions focused on enrichment beyond</td>
<td>These actions are intended to extend the learning offer beyond the curriculum and/or to provide a safe place between school and home. They may include: breakfast clubs; creative play possibilities; sports, arts and other leisure activities; after-school and holiday clubs; trips not directly linked to the curriculum.</td>
<td></td>
</tr>
<tr>
<td>the curriculum</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Actions focused on families and communities</td>
<td>These actions are intended to help parents provide better support to their children by engaging them in their children’s learning and/or providing them with the knowledge and skills to do so effectively. Support for parents may include: family learning; parenting classes; family support worker or parent support adviser.</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>10</td>
<td>Alternative learning pathways and curricula</td>
<td>This provision is expected to apply primarily to secondary schools. It comprises alternatives for pupils who are having difficulties with the traditional learning pathways. It may include arrangements with a local FE College or other provider to deliver specific courses/programmes resulting in qualifications such as BTEC; ASDAN; PECI.</td>
</tr>
</tbody>
</table>
Appendix 5: Survey questionnaire

SECTION 1: DATASHEET

Firstly, I’d like to collect the information from the datasheet that you completed.

COLLECT DATA FROM DATASHEET

SECTION 2: TARGETING DISADVANTAGED PUPILS

The next questions are about how the school targets support at disadvantaged pupils.

Throughout this survey, many of the questions are about what the school does for disadvantaged pupils. We are referring to this as "support". So when I ask about the school’s support for disadvantaged pupils, please think about any activities, programmes, support or anything else that the school provides for disadvantaged pupils.

DCRIT
Multi coded

If and when you target support at disadvantaged pupils and families, what criteria do you use to define disadvantage?
DO NOT READ OUT. CODE ALL THAT APPLY.

1. Pupils eligible for free school meals (FSM)
2. Children in Care/looked after
3. Low attainment/lack of progress
4. Children from low income families
5. Children from single parent / lone parent families
6. Families in receipt of specific state benefit(s) (e.g. Income Support, Job Seekers Allowance, Housing Benefit, Working Tax credit)
7. Families from specific geographical areas (e.g. using ACORN or IDACI)
8. Families in temporary or poor accommodation
9. Lack of contact with parents/difficult family situations
10. Disadvantaged children with special educational needs
11. Refugee or Asylum Seeker children
12. Based on our knowledge about pupils and families (non-specific) * Open
13. other, namely...
14. no answer
15. don't know

ALLDIS
Single coded

Do you target support at all disadvantaged pupils, or just some groups or individuals?
CODE ONE ONLY.

1. All disadvantaged pupils
2. Just some groups or individuals
4. don't know
What criteria do you use for choosing which disadvantaged pupils to target for support?
READ OUT. CODE ALL THAT APPLY.

1. Those not making good progress
2. Those with low attainment
4. Pupils from specific minority ethnic groups
5. Pupils with English as an Additional Language (EAL)
6. Pupils with special educational needs (SEN)
7. Particular age groups/classes
8. Boys / girls
9. other, namely...
10. don't know

Do you have different types of support aimed at disadvantaged pupils with higher attainment, to the types of support aimed at disadvantaged pupils with lower attainment?

INTERVIEWER: IF THE RESPONDENT SAYS THEY HAVE DIFFERENT SUPPORT AIMED AT THOSE WHO ARE MAKING GOOD PROGRESS TO THOSE WHO ARE NOT MAKING GOOD PROGRESS THEN PLEASE ANSWER ‘YES’ HERE.

1. Yes - different types of support for higher/lower attainers
2. No
3. don't know

Is the same support used for disadvantaged pupils of all ages, or does support vary for different age groups?

1. Same support for all ages
2. Different support for different age groups
3. don't know

We know that not all families that might be eligible for free school meals register with their school to receive them. Since the introduction of the Pupil Premium, has your school done anything to encourage more families to register for free school meals?

1. Yes
3. No
4. don't know
**ASK ONLY IF FSMDR=1**

**PPFSM**  
Single coded

Was this activity undertaken because of the Pupil Premium, or would it have happened anyway?

1 ○ Yes - because of Pupil Premium  
2 ○ No - would have happened anyway  
3 ○ don't know

**ASK ONLY IF FSMDR=1**

**FSMIF**  
Single coded

Have you told parents that registering for free school meals will increase the funding the school gets?

1 ○ Yes  
2 ○ No  
3 ○ don't know

**SECTION 3: SUPPORT BEFORE PUPIL PREMIUM AND EFFECTS OF PUPIL PREMIUM**

Now, a few questions about the support the school offered before the Pupil Premium, and how this has changed since the introduction of Pupil Premium funding.

**TARGBPP**  
Single coded

Before you received Pupil Premium funding, did you explicitly target disadvantaged pupils for additional support, or have programmes or activities in place aimed at helping disadvantaged pupils?

1 ○ Yes  
2 ○ No  
3 ○ don't know
Thinking about the support you had in place before the introduction of Pupil Premium and the support you have in place now for disadvantaged pupils, which of the following statements would you say is most true for your school?

READ OUT
1. We now have more support for disadvantaged pupils than before the introduction of Pupil Premium
2. We have about the same level of support for disadvantaged pupils as we did before the introduction of Pupil Premium
3. We now have less support for disadvantaged pupils than before the introduction of Pupil Premium
4. don't know
SAGREE1
Matrix

How much do you agree or disagree with the following statements...

Scripter: Random

<table>
<thead>
<tr>
<th></th>
<th>Strongly agree</th>
<th>Agree</th>
<th>Neither agree nor disagree</th>
<th>Disagree</th>
<th>Strongly disagree</th>
<th>Don't know</th>
</tr>
</thead>
<tbody>
<tr>
<td>This school had a focus on helping disadvantaged pupils before the introduction of Pupil Premium</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
</tr>
<tr>
<td>The introduction of Pupil Premium has meant the school puts more effort into helping disadvantaged pupils</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
</tr>
<tr>
<td>Without the Pupil Premium the school would not be able to do as much for disadvantaged pupils</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
</tr>
<tr>
<td>Pupil Premium funding alone is not enough to fund the support we offer to disadvantaged pupils</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
</tr>
<tr>
<td>The Pupil Premium has allowed us to maintain services and support which would otherwise have been withdrawn</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
<td>o</td>
</tr>
</tbody>
</table>
NEWACT
Single coded

As a direct result of Pupil Premium funding, has the school introduced any new activities, programmes or support for disadvantaged pupils?

1 ○ Yes
2 ○ No
3 ○ don't know

ASK ONLY IF TARGBP=1
EXPAND
Single coded

As a direct result of Pupil Premium funding, has the school expanded the existing support it was already offering?
By 'expand' we mean things like offering existing support to more pupils, or increasing the hours or scope of existing support.

1 ○ Yes
2 ○ No
4 ○ don't know

SECTION 4: CURRENT SUPPORT AND DECISION MAKING PROCESS

Next, I'd like to ask about the support the school currently offers to disadvantaged pupils (including support funded by the Pupil Premium and support funded in other ways), and how you have decided what support to offer.
OFFER
Multi coded

Which, if any, of the following does the school currently offer in order to support disadvantaged pupils?
IF NECESSARY: Please include anything the school offers whether you fund it with the Pupil Premium or in other ways.
READ OUT. YES OR NO TO EACH.

1 □ Additional support outside the classroom (e.g. one-to-one tutoring, small group teaching)
2 □ Additional support inside the classroom
3 □ Additional staff (e.g. teaching assistants, extra teachers, learning mentors, family support workers)
4 □ Support from specialist services (e.g. educational psychologist, counsellor, health worker)
5 □ Reducing class sizes
6 □ Out of hours activities (e.g. breakfast clubs, after school and holiday clubs, homework clubs, sports and leisure activities)
7 □ Summer schools
8 □ Curriculum related school trips
9 □ Provision of materials or resources
10 □ Parental support and engagement
11 □ Alternative learning pathways (e.g. arrangements with local FE colleges, other schools or providers)
12 ○ none of the above
13 ○ don't know
14 □ other, namely...

* Open
Are there any types of support, of the ones that you've just mentioned, that you would not be able to offer if you did not have Pupil Premium funding? READ OUT

Yes – would not be able to offer some of these
No – would continue to offer all but at a reduced level
No – would continue to offer all at the same level without Pupil Premium
Don’t know

ASK ONLY IF NOFFER1=1

For each of the types of support you currently offer, please tell me whether or not you would still be able to offer it if you did not have the Pupil Premium funding.

Would you still offer: TYPE OF SUPPORT (FROM LIST BELOW)

Yes – would still offer without Pupil Premium funding
No – could not offer without Pupil Premium funding
Don’t know

Scripter notes: Filter answer list to only include answers given at OFFER (including the other option - if captured)

1  □ Additional support outside the classroom (e.g. one-to-one tutoring, small group teaching)
2  □ Additional support inside the classroom
3  □ Additional staff (e.g. teaching assistants, extra teachers, learning mentors, family support workers)
4  □ Support from specialist services (e.g. educational psychologist, counsellor, health worker)
5  □ Reducing class sizes
6  □ Out of hours activities (e.g. breakfast clubs, after school and holiday clubs, homework clubs, sports and leisure activities)
7  □ Summer schools
8  □ Curriculum related school trips
9  □ Provision of materials or resources
10 □ Parental support and engagement
11 □ Alternative learning pathways (e.g. arrangements with local FE colleges, other schools or providers)
14 □ other, namely... * Open
HCHOOSE
Multi coded

Have you used any of the following when deciding what to spend the Pupil Premium on?
READ OUT. CODE ALL THAT APPLY.
1 □ Local authority schemes
2 □ The Sutton Trust Toolkit
3 □ The "What works" pages of the DfE website
4 □ Your own internal monitoring and evaluation
5 □ Evidence from other schools/word of mouth
6 □ Academic research
7 □ other, namely... * Open
8 ○ no answer
9 ○ don't know

SECTION 5: MONITORING AND IMPACT

Next, some questions about measuring the impact of the support you provide.

MONITOR
Single coded

Does the school monitor the impact of the support you provide for disadvantaged pupils?
1 ○ Yes
2 ○ No
3 ○ don't know

ASK ONLY IF MONITOR=1
MEASURE
Multi coded

How do you measure the impact of your support for disadvantaged pupils, do you look at any of the following...?
READ OUT. CODE ALL THAT APPLY.
1 □ Improvement in attendance
2 □ Improvement in behaviour
3 □ Improvement in attainment
4 □ Improvement in confidence
5 □ Reduction in pupils being NEET after leaving school
6 □ Reduction in exclusions
7 □ Avoiding criminal behaviour
8 □ other, namely... * Open
9 ○ no answer
10 ○ don't know
For each of the types of support that the school offers for disadvantaged pupils, we'd like to know how effective you think it is. You might consider support to be effective if it has had any positive impacts on disadvantaged pupils or families whether these are easily measurable impacts like raising attainment, or less tangible impacts like pupils being happier or more confident.

Scripter notes: Only include types of support offered at OFFER

<table>
<thead>
<tr>
<th>Support Type</th>
<th>Very effective</th>
<th>Fairly effective</th>
<th>Not very effective</th>
<th>Not at all effective</th>
<th>Don't know</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional support outside the classroom (e.g. one-to-one tutoring, small group teaching)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Additional support inside the classroom</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Additional staff (e.g. teaching assistants, extra teachers, learning mentors, family support workers)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Support from specialist services (e.g. educational psychologist, counsellor, health worker)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reducing class sizes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Out of hours activities (e.g. breakfast clubs, after school and holiday clubs, homework clubs, sports and leisure activities)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Summer schools</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Curriculum related school trips</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
SECTION 6: WORKING WITH OTHER SCHOOLS/ORGANISATIONS

We'd also like to know about whether the school works with other schools or organisations.

WOSCH
Single coded

Does the school work with other schools in order to provide support for disadvantaged pupils?

1  ○  Yes
2  ○  No
3  ○  don't know

ASK ONLY IF WOSCH=1

POOLB
Single coded

Do you pool budgets or resources with other schools in order to provide support for disadvantaged pupils?

1  ○  Yes
2  ○  No
3  ○  don't know
EXORG
Single coded

Does the school work with any of the following in order to provide support for disadvantaged pupils?

CODE ALL THAT APPLY
1 ○ The local authority
2 ○ External organisations or individuals (e.g. the voluntary and community sector)
3 ○ don't know
4 ○ none of the above

ASK ONLY IF EXORG=1,2

PPFEO
Single coded

Has any Pupil Premium funding been used to pay for the involvement of external organisations or individuals in providing this support?
1 ○ Yes
2 ○ No
3 ○ don't know

SECTION 7: FUTURE PLANNING

Now I'd like you to think about the school's plans for the next year or so.

FUTSUP
Single coded

Thinking about the overall package of support you are currently providing for disadvantaged pupils, over the coming year is the school intending to...

READ OUT.
1 ○ Increase the level of this support
2 ○ Continue providing this support at the same level
3 ○ Decrease the level of this support
4 ○ don't know

FUTNEW
Single coded

In the next year or so, is the school planning on introducing any new types of support or enhancing existing support for disadvantaged pupils using Pupil Premium funding?
1 ○ Yes
2 ○ No
3 ○ don't know
What types of support is the school planning on introducing using Pupil Premium funding?

DO NOT READ OUT - PROMPT TO PRECODES. CODE ALL THAT APPLY.

1  □ Additional support outside the classroom (e.g. one-to-one tutoring, small group teaching)
2  □ Additional support inside the classroom
3  □ Additional staff (e.g. teaching assistants, extra teachers, learning mentors, family support workers)
4  □ Support from specialist services (e.g. educational psychologist, counsellor, health worker)
5  □ Reducing class sizes
6  □ Out of hours activities (e.g. breakfast clubs, after school and holiday clubs, homework clubs, sports and leisure activities)
7  □ Summer schools
8  □ Curriculum related school trips
9  □ Provision of materials or resources
10 □ Parental support and engagement
11 □ Alternative learning pathways (e.g. arrangements with local FE colleges, other schools or providers)
12 □ none of the above
13 □ don't know
14 □ other, namely... * Open

We are working with the Universities of Manchester and Newcastle on this evaluation and they may wish to contact a few of the schools that took part in this survey for some further research. Would you be willing for them to contact you about this?

1  □ Yes
2  □ No