

Directorate of Education and Lifelong Learning

Consultation Document

Consultation on: **SEN Matrix for Additional Funding for Mainstream Pupils with Special Education Needs.**

Summary: This consultation sets out proposed changes to the funding methodology for mainstream pupils, resident in the Dudley Borough, who have Special Educational Needs as defined by the 2001 SEN Code of Practice. The funding is part of Dudley's Fair Funding Resource Allocation formula. It is a requirement of the LEA to consult the governing body and head teacher of every school, which they maintain about any proposed changes in relation to the factors, and criteria that are taken into account, or methods, principles and rules that were adopted, in their formula for the financial year beginning on 1st April.

Deadline: All responses must be received by xxxxxxxxxxxxxxx

Consultees:

- The Governing Bodies of all schools
- Headteachers
- Councillors
- Members of the Lifelong Learning Select Committee
- Members of Parliament
- The Black Country Learning and Skills Council
- Dudley Lifelong Learning Partnership
- Further Education Colleges
- Directorate staff
- Unions and Professional Associations
- Early Years Development and Childcare Partnership
- Standing Advisory Council on Religious Education
- Dudley MBC - Corporate Board
- Primary Care Trusts
- West Midlands Police
- Worcester Diocesan Education Committee
- Roman Catholic Diocesan Schools Commission

Dudley Association of Governing Bodies
Neighbouring LEA Directors
Dudley Racial Equality Council
Community Forums
Community Learning Networks
Churches together in the Borough of Dudley
Dudley Free Church Liaison Council
Dudley Parent Partnership
The Kashmiri Pakistani Professionals Forum
Dudley Community Partnership
Black Country Chamber of Commerce
Dudley Education Business Group
Community Representatives Panel
Sure Start local programmes
Children's Fund
Children and Young People's Partnership

Public Access: Public Libraries
Dudley Website www.dudley.gov.uk
InsideDudley
Westox House

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All responses may be published. A large print version, and versions in other languages are available on request to the above address.



John Freeman
Director of Education and Lifelong Learning
XXXXXX 2005

SEN Matrix Funding for Mainstream Pupils with Special Educational Needs

Consultation Document

'Putting Learning First for Dudley'

xxxxxx 2005

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2004-2005
Transforming the School Workforce

Contents (to be completed)

Glossary (to be completed)

DRAFT

Background Information

1. This consultation document relates to pupils who are:
 - a. Resident within the Dudley Borough and who attend a mainstream school and have a statement of Special Educational Need (SEN);
or
 - b. Educated within a Dudley mainstream school and have special education needs but do not require a statement.

Current Statemented Pupils with SEN

2. Dudley Local Education Authority (LEA) SEN officers carry out the administration of the current statutory assessment process. They are responsible for the monitoring and reassessment of SEN of pupils who are resident within the Dudley Borough; regardless of the school they attend. This can mean that a pupil is educated in a school outside the Borough albeit 95% of the pupils are educated in Dudley schools.
3. The statement of SEN will identify a pupil's 'primary' need, and where appropriate a 'secondary' need, together with information relating to the number of hours, type of support and, in some cases, additional resources which are required to supplement the existing arrangement for a pupil's learning.
4. A statement can be issued to a pupil who attends a special school, specialist unit or mainstream school. In a mainstream school, the support that is currently described in the statement is additional to the education provision, which is met by the mainstream school via its delegated budget. This differs to special schools and specialist units in Dudley, which are funded on a planned place basis. As the statement itself does not drive any additional funding in these establishments, this consultation document refers to pupils with statements attending mainstream schools only.
5. Funding is currently allocated to the mainstream school to meet the needs of the pupil as described by the statement. It is for the school to provide the additional teaching support as determined by the statement.

6. There are currently two funding processes which exist for SEN pupils with statements:

a. Statements of 25 hours or more

This budget (see Table 1) is currently retained centrally.

When a statement is issued, then funds are allocated to schools in line with the information held on the statement. This budget adjustment will be effective from the date of the substantive statement being approved.

b. Statements less than 25 hours

This budget (see Table 1) is currently delegated to mainstream schools.

There are two dates for calculating the amount to be allocated to schools via their delegated budget. If a pupil holds a substantive statement at the 31st January, then the funding will be allocated to schools via the resource allocation formula for the full financial year commencing April. If a substantive statement is issued after the 31st January, i.e. between February and August, then an in year adjustment, of 7/12ths, will be made to schools budgets from the schools specific contingency in September

The process of allocating funds in respect of pupils with statements of special education need in mainstream schools, relates to all Dudley resident pupils regardless of whether the mainstream school is within or outside of the Dudley Borough. The consultation document refers therefore to both sets of pupils.

Current Non Statemented Pupils with SEN

7. Schools receive delegated funding based on a number of formula funding factors. It is recognised within the Dudley Fair Funding Resource Allocation Formula, that pupils with special education needs will demand more resources in schools. Therefore, in addition to the funding allocation which is based on the identified needs of the individual pupil with a statement of SEN (paragraph 5), resources are also allocated differentially to schools in recognition of the needs of pupils with non-statemented SEN;

- those pupils who under attain but do not require a statement of SEN.
8. In 2005/06, £1.8m has been delegated to schools under the formula factor 'SEN pupils without statements'. The current formula allocates funding to pupils in Dudley schools who are achieving significantly below the expected level of SATs (statutory assessment tests) results, taking into account their reading, writing or mathematics score. This funding accounts for 1.2% of the schools ISB (Individual Schools Budget).
 9. Although the 'SEN pupils without statements' funding has existed for a number of years within the Dudley resource allocation formula, the current formula methodology in 2005/06 was approved as an interim measure. Prior to this the formula was based on a combination of NFER (national foundation for education research) and SATs results. As the LEA ceased the use of the NFER tests in 2004 there was a need to formulate a new funding methodology to distribute the £1.8m to schools from 2005/06 onwards.
 10. It was considered appropriate, given the work of the SEN matrix-working group, for this group to widen the scope of its discussions to include within the proposed SEN matrix model, those pupils who under attain but do not require a statement of SEN. This would allow a continuum of need to be identified with a mainstream school, identifying those pupils with complex needs, who hold a statement of SEN, through to pupils working at School Action and School Action Plus.
 11. Although schools receive delegated funding in line with the fair funding resource allocation formula, they are under no direct obligation to spend in accordance with that distribution.

Budgets Available for SEN

12. In the current financial year, 2005/06, the funding is divided into four budgets. See Table 1 for details.

Table 1 – 2005/06 Budget

Mainstream SEN Provision –with or without statements	Budget Details	Value of Budget 2005/06
Pupils resident within but educated outside of the Dudley Borough with a statement.	Centrally retained and payments made to schools/LEA direct.	£0.2m
Pupils resident within and educated in Dudley Schools with a statement of 25 hours or more.	Centrally retained and payments made to schools direct.	£1.4m
Pupils resident within and educated in Dudley Schools with a statement less than 25 hours.	Delegated to schools in April 2002.	£2.3m
Pupils educated in Dudley Schools where levels of attainment at SATs are measured as significantly below average.	Delegated funding available to mainstream schools via formula methodology described as 'SEN without statements'	£1.8m

Purpose of Review

13. There has been a growing concern, expressed by interested parties such as SEN officers, Finance officers, Parent Partnership officers and head teachers, around the statementing process. These can be identified as:

- a. Some parents question the application of the statement in school; wishing to see the evidence that a pupil has been receiving an education prescriptively in line with the statement;
- b. Some Heads/SENCOs (special education needs co-ordinators) feel that they are completely tied to the details written on the statement thus reducing their flexibility in providing the best education for these pupils;
- c. SEN officers have limited opportunity to prove that the allocation of funds to schools has been used in line with the purpose for which it was intended;

- d. Finance officers have advised the Directorate that as the numbers of statements continue to increase then the rate of funding per pupil will diminish. The stated budget is finite and cash limited.
14. With these concerns growing and the numbers of statements expanding, a review of the current process was commissioned. The overall aims being to provide a new model which was:
- a. Simple to use and transparent to all staff and parents;
 - b. Minimal bureaucracy;
 - c. Better matched to actual pupil need;
 - d. Part of the continuum of need and funding levels reflecting this continuum;
 - e. Aims in time to effect a significant culture shift in the relationship and trust between schools, LEA and parents;
 - f. Aims, in time, to reduce the need for statements as pupils should receive intervention more readily through the matrix. Statements would then be used to help analyse and describe the SEN of the most complex pupils.

Proposals

15. A small group of SEN officers, Finance officers, Parent Partnership officers and representative head teachers have been tasked to review the current funding mechanism for children in mainstream schools who have special educational needs. Their aim to implement an agreed new system in April 2006 that is more equitable and less bureaucratic.
16. For statemented pupils of SEN, the intention is to move away from attaching a specific number of hours support to each statement and to introduce a graduated banding system. The funds attached to each statement will allow schools more autonomy and flexibility in how a child's changing needs are met, whilst still complying with the statutory requirement to ensure that the child's needs are met appropriately. Clearly the new statements will be written to reflect any such changes.
17. For non-statemented pupils of SEN, is it the intention that the SEN matrix will be used also to identify this category of pupils. Where a pupil has been identified as working at School Action or School Action Plus and their SATs results are currently significantly below the expected level of the key

stage year group, then funding will be allocated for that pupil based on a graduated banding system.

18. The overall aim of the banding system within the SEN matrix is to show a proportionate increase in funding at each level, which more accurately reflects the need of each pupil. Within mainstream therefore, the pupils will range from those with more than a 25-hour statement to a pupil working at School Action with below average SATs scores. There will also be a more logical and equitable relationship between the funding allocated in mainstream and special schools for pupils with SEN.

SEN Matrix Model

19. A number of LEAs use a matrix for SEN funding. The group considered models from other LEAs. It was agreed that the Dudley model should be as simple as possible without compromising the purpose of the process, which is to allocate additional funds to schools on behalf of pupils who have identified Special Education Needs.
20. The aim of the group was to devise a 'matrix of need' in the first instance, which could be used to plot each pupil's level of need and the way they presented in class. This was done on a simple framework, having considered models from other LEAs, plotting the most complex across to the mildest level of need. The framework uses the SEN Code of Practice needs together with a graduated banding system. Table 2.
For example, it covers a child with a learning need in mainstream across a continuum to the child with complex learning need/SLD in a special school. It was understood that each category of need was a continuum and that children might be in receipt of funds, which either supported specialist equipment and materials and/or an amount of 1-1 adult support or specialist teaching input.

Table 2 – SEN Matrix Framework

Funding Band	Cognition and Learning	Specific Learning Difficulties SpLD	Speech and Language	Social and Communication, Asperger Syndrome, Autistic Spectrum Disorder	Behavioral, Emotional, Social	Hearing Impairment	Visual Impairment	Physical Disabilities
	1	2	3	4	5	6	7	8
C1								
C2								
C3								
C4								

21. Sitting behind the framework, within each category where a row and a column meet, in a 3D format, is a set of SEN descriptors. *Appendix B*. The descriptors have been prepared by a small working group including SEN officers and head teachers and will be used to assist Heads/SENCOs/Educational Psychologists in the identification process of a pupil in school displaying special education needs. The matrix assessment process will be carried out in school: teacher and SENCO will use the descriptors to allocate a pupil according to the need descriptor. This will match to a category on the matrix grid the pupil will be placed in.
22. The grid was devised and then piloted with 18 schools (a list is attached in Appendix A). The purpose of the pilot was to see if each school SENCO could agree and identify where on the grid each pupil with SEN in their school would fall. It was also possible to evaluate staff attitudes to the prospect of using such a model.
23. The result of the pilot indicated that staff were generally in agreement with the descriptors of need against each section on the continuum of need and that they felt confident in assessing each child against the descriptor.
24. The descriptors have been modified and fine tuned since the group first met and the proposed descriptors to accompany the SEN matrix are shown in Appendix B.
25. The final stage in the process will be the allocation of funds that follow the SEN matrix hierarchy of need.

Funding

26. Officers then progressed to matching finance to the categories of need on the matrix using the current budgets available for mainstream statemented pupils; this covers the budgets listed in Table 1.
27. Each category identified on the matrix is given a relative weighting depending upon need. The numbers of pupils for each category are multiplied by the weighting to arrive at a total number of units for the financial year. This drives a unit of resource (£), which is applied to the weighted pupils in order to calculate a schools budget.
28. This exercise would be calculated each January in preparation for the forthcoming financial year delegated budgets. A further exercise would be undertaken in September, to fund those additional pupils with statements of SEN who are identified on the matrix between February and August; this funding is currently earmarked and retained within the schools specific contingency for allocation in September. It is proposed that this established process remains the same.
29. For those pupils identified on the matrix who have special education needs but do not require a statement, there would be no in year allocation of funds. The funding for the financial year would be based on the pupils identified in January preceding the commencement of the financial year. This is no different to the current formula allocation.
30. Schools would be expected to submit to the Finance Directorate by the designated dates, a copy of the individual SEN matrices in order that funding can be allocated.
31. The introduction of the SEN matrix will need to draw upon all resources currently identified for SEN pupils in schools; reference Table 1. As the matrix will not identify the value of hours associated with a statement but the needs of the pupil, there is a requirement to delegate the centrally retained budget of £1.4m which covers the payment to Dudley schools where pupils have a statement with 25 hours or more. The pupil descriptors will, for example identify: 'entitlement to an age-appropriate

National Curriculum. A high level of individual support required. Autism Outreach Team (AOT) may be involved'. It is proposed that the budget in respect of pupils taught out of the Borough is still maintained centrally for distribution.

Individual Matrix Review

32. The SEN matrix will be an evolving document for use during the year. Schools must update their matrix to take account of pupils moving in or out of school mid-year; this will be necessary to secure the mid-year funding adjustment that is made in September for pupils with statements. It is proposed that an annual update is carried out with the SENCO and the SEN officer; this data will be used to fund the school for the next financial year, commencing in April.
33. Monitoring would take place annually. The school SENCO and the SEN officer/Education Psychologist would ensure those children had been placed appropriately on the matrix. This would be a 'light touch' review and will depend on a growing level of trust being developed between officers and schools alike. Clearly if any school were found to be incorrectly placing children in a greater category of need on the matrix, the LEA would take appropriate action. The intention is that, in time, a statement would only be required for the most complex cases and the matrix would be the method by which funding was allocated to schools.
34. Clearly there is a finite budget and any school escalating costs inappropriately will increase demand on the budget and thus reduce other schools individual allocation; in effect the cake gets cut into smaller pieces.
35. The monitoring of a pupil's educational progress will be through the termly review of their IEP (individual education plans) and where a pupil has a statement, through their formal Annual Review. For those pupils who do not hold a statement, we recommend a similar process to the Annual Review so that a pupil's targets and progress made against them can be considered carefully with parent/carer/pupil and professionals. Such a review would then be used to inform/confirm the pupil's position on the

matrix.

36. The SDA (school development advisor) will be the link officer with the school SENCO and SEN officer in providing support to the schools governors in meeting pupil's SEN.

Evidence

37. A copy of the individual pupil SEN matrix would be available for all parties (heads, SENCO, parents, LEA officers) to access.
38. It is a requirement of Dudley's Scheme for Financing Schools (paragraph 11.9) that the LEA may request statistical information from schools, annually, in relation to the application of delegated funding under the SEN formula allocation. Under this framework the LEA may ask schools, in the future, to submit a return identifying how the SEN matrix funds have been allocated for each pupil in school.

Transitional Arrangements

39. For the SEN matrix model to be operational by 1st April 2006, this would require Heads/SENCOs assessing all pupils of SEN in schools and placing the pupil on the SEN matrix by 31st January 2006. This would seem a tight timescale to work to. So it is proposed that if a school is are unable to accommodate this timescale in year 1:
 - a. The SEN officers and Education Psychologists will assimilate all existing mainstream SEN pupils with statements to the matrix. This would allow schools to revise the initial placement and add new and amended statements onto the SEN matrix in time for January 2007.
 - b. Because of time constraints and the need for training on the new system, the funding of mainstream pupils with SEN, excluding Statemented pupils, for the year 2006/7 will continue as it has done in 2005/6 i.e. utilising data captured centrally from SATs results with less than the expected level within the key stage year group. The Education Directorate Information team already captures this

data centrally.

- c. However it is recognised that this system may have the effect of spreading resources too thinly and needs to focus more on pupils with demonstrable SEN. During 2006 it is planned that training will take place with Heads and SENCOs to familiarise them with the SEN Matrix process. Exercises in moderation and monitoring will be developed to build confidence in the validity and fairness of the system. It should then be possible to use the Matrix system to identify pupils with an equivalent level of SEN across the borough, usually those pupils at School Action and School Action Plus of the Code of Practice. This data will then drive the funding allocation for 2007/8.

40. Paragraph 13 identifies that future statements would need to be written in line with the descriptors available for matrix funding. This will ensure that, over a period of time, new statements correlate to the categories of need shown on the matrix, which will assist with the exercise of placing pupils on the matrix.

Further Developments

41. The matrix will be applied to all pupils with SEN over a period of time, albeit working slightly differently for SEN units and special schools due to the nature of the funding being based on a planned place. It is the intention of the group to further develop and discuss the use of the matrix for these schools and units ensuring consistency of approach and funding methodology in line with the SEN matrix proposed for mainstream pupils.

Consultation and Decision Timetable

Key milestones in the consultation and implementation of revised formula funding arrangements are as follows:

- a) July/September – Strategic briefings for HTCF BWG and A&I, HTCF forums, A&I managers, SDAs, Schools Forum .
- b) September 2005 – Meetings for head teachers, SENCOs, parental groups, Governors.
- c) September – November 2005 – Consultation Period;
- d) xx October 2005 – Consultation Meeting at Saltwells EDC -pm;
- e) December/January 2006 – Information considered by HTCF – Budget Working Group and HTCF – Access and Inclusion Group;
- f) 8 February 2006 – Information considered by Schools Forum;
- g) February 2006- Decision by Cabinet Member for Education and Lifelong Learning on final proposed arrangements for the formula;
- h) March 2006 – Publication of new arrangements and development of school budgets 2006/07.

Consultees are invited to make their views about the proposals by completing the questionnaire and returning to the address shown by xxxxx. The questionnaire is available in Word format on both insidedudley and www.dudley.gov.uk for downloading. Responses by email are welcome.

Matrix Funding Group

Field trials of Matrices

Schools involved

Mount Pleasant, Highgate Primary, Bromley Hills, Caslon, Thorns Primary, Wrens Nest, Castle High Summerhill, Holly Hall, The Crestwood Earls High, The Ridgewood, Woodsetton Pens Meadow Sutton Rosewood The Brier Halesbury

Learning and Cognition

Denise Foxall
Howard Marsh
Schools: Mount Pleasant, Castle High, Woodsetton

Behaviour

Martin Howard
Grahame Robertson
Schools: Highgate Primary, Summerhill, Pens Meadow

Visual Impairment

Judy Lewis
Sharon Hearne
Schools: Bromley Hills, Holly Hall, Sutton

Hearing impairment

Shelagh James
Grahame Robertson
School: Caslon, The Crestwood Secondary, Rosewood

Physical and Medical Difficulties

Kim Fisher

Judy Lewis

Schools: The Ridge, Thorns Community College, Old Park

Social and Communication, Asperger etc

David Bishop-Rowe

Kim Grew

Schools: Thorns Primary, Earls High, The Brier

Speech, Expressive and Receptive Language

Colette Soan

Martin Howard

Schools: Wrens Nest, The Ridgewood Secondary, Halesbury

Data from these trials was presented at Matrix Funding Group meeting on Wednesday 4 June 2003, Saltwells EDC 9.00 a.m.

Matrix Funding descriptors for pupils with SEN at School Action and School Action Plus.

Descriptors are being prepared for special needs in the following areas:

- Cognition and learning
- Speech and language
- Social and communication
- Social, emotional and behavioural
- Sensory impairments (hearing and vision)
- Physical and medical

The following pages are examples of the proposed descriptors for *Cognition and learning* and *Social and Communication* and relate to those pupils who would normally be helped at School Action and School Action Plus of the Code of Practice.

A further example is given of a descriptor which would not normally attract additional funding.

Difficulty: ***Cognition and Learning***

All interventions must be demonstrable for moderation and monitoring purposes.

All pupils will have an Individual Education Plan that states targets, teaching strategies and resources.

For pupils with Special Educational Needs the Curriculum will always be provided at a level that is additional to or different from the usually differentiated curriculum plan.

Description of difficulty	Curriculum issues / Intervention
<p>C1 Pupil will be working within the National Curriculum at the appropriate Key Stage but working largely within “P” scales 6 - 8. Pupil will have significant difficulties in other areas that affect the learning of new skills, and they will not be able to access the curriculum independently.</p>	<p>High level of differentiation using a variety of teaching and learning styles. The learning programme will need contributions from other professionals. Pupil may need access to alternative means of communication to access the curriculum. Pupil will largely need individual support to ensure full access to the curriculum.</p>
<p>C2 Pupil will be working within the National Curriculum at the appropriate Key Stage but may be working in “P” scales in some areas</p>	<p>Increased differentiation of the curriculum. Pupil will largely need individual or group support to ensure full access to the curriculum. Intervention will be provided in small steps.</p>
<p>C3. Pupil will be working within the National Curriculum at the appropriate Key Stage but there is evidence that current rates of progress are seriously inadequate</p>	<p>Increased differentiation of the curriculum within the normal class to ensure full access to the curriculum (i.e. more than the “usually differentiated curriculum” mentioned in the SEN Code). Additional support based on an individual or group programme which is developed with the support of specialist outside agencies</p>
<p>C4 NB THIS IS AN EXAMPLE OF A CHILD WHO WILL NOT ATTRACT ADDITIONAL FUNDING Pupil will be working within the National Curriculum at the appropriate Key Stage but there is evidence that current rates of progress are slow Pupil will have difficulty in accessing the full curriculum and will be in need of additional arrangements.</p>	<p>Some increased differentiation of the curriculum is required to ensure full access to the curriculum (i.e. more than the “usually differentiated curriculum” mentioned in the SEN Code). Specific advice from the school SENCo and/or a specialist outside agency is needed.</p>

Difficulty: **Social and Communication/Asperger Syndrome/Autistic Spectrum Disorder**

N.B. These conditions can affect pupils at any level of the education system causing varying degrees of difficulty.

Description of difficulty	Curriculum issues / Intervention
<p>C1 Has obvious difficulties in all 3 areas of Triad (Receptive language, Social understanding, Flexibility of thinking). Daily incidents involving inappropriate social interactions with peers. Needs routine and makes inflexible responses. Resistance to change; has obsessions or interests that are difficult to stop.</p>	<p>Entitlement to an age-appropriate National Curriculum. A high level of individual support required. Autism Outreach Team (AOT) may be involved. Speech and Language Therapist may be involved. Need for targeted support and planned social opportunities (e.g. at lunchtime)</p>
<p>C2 Has obvious difficulties in all 3 areas of Triad. Frequent incidents involving inappropriate social interactions with peers. Prefers routine and makes inflexible responses Finds change hard to cope with. A gap between reading ability and understanding. Can learn facts – has good rote memory – but unable to use information meaningfully. Poor problem solving skills. Unable to deal with content of a social nature – feelings, thinking about others etc. Dislikes recording work on paper. Can tear up work if not perfect. Fear of getting things wrong.</p>	<p>Entitlement to an age-appropriate National Curriculum. Organisation – e.g. having right equipment, managing personal time and planning will all need support.</p> <p>Will need extra support especially at transition between phases. Access to specialist support from Autism Outreach Team if appropriate. Speech and Language Therapist will often be involved</p>
<p>C3 Some specific social interaction difficulties. Social Communication difficulties. Attention and listening skills significantly weak. Has interests or obsessions, which dominate thoughts – but can respond to requests to stop. Not understanding the task. Unable to start or finish task. Refuses to comply with teacher instructions. Unable to work co-operatively</p>	<p>Entitlement to an age-appropriate National Curriculum. Can function in a mainstream school. Some access to support necessary. Speech and Language Therapy programme may be offered to school.</p>
<p>C4. NB THIS IS AN EXAMPLE OF A CHILD WHO WILL NOT ATTRACT ADDITIONAL FUNDING Child has been said to have “autistic tendencies”. Often in a world of their own. Does not like to fit into the routine of the school.</p>	

List of questions for consultees to consider

