



Education & Skills
Funding Agency

Authority proforma tool 2019 to 2020

Instructions for local authorities

December 2018

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Introduction and background

The Education and Skills Funding Agency (ESFA) has developed the authority proforma tool (APT) to enable a local authority to detail their 2019 to 2020 schools block funding formulae in accordance with the arrangements set out by the Secretary of State for Education.

The main purpose of this tool is:

- to allow local authorities to model different options for their 2019 to 2020 schools block funding formulae and at the same time act as the proforma which local authorities will submit in January 2019; it is also the mechanism by which we provide the schools block dataset to local authorities
- to capture all the data required by ESFA to calculate academy budgets, including information on the number of occupied high needs places at special units and resourced provision in mainstream academies to determine the place funding rate
- to enable ESFA to check that the formula has been applied reasonably and in compliance with regulations and conditions of grant, and that central budgets are being allocated in line with regulations
- to enable ESFA to check that at least 99.5% of funding allocated through the schools block element of the DSG is passed through the funding formula set by the local authority, or allocated to the growth fund or falling rolls fund.
- to collect data on maintained schools' schools block budgets for publication
- to use the notional allocations for academies for recoupment purposes; recoupment will continue to take place on the basis of the budget, including the minimum funding guarantee (MFG), that the academy would have received as a maintained school
- to give ESFA information about which academies and future converters are judged by the local authority as meeting the criteria to qualify for exceptional factors or MFG exclusions so that these can be taken into account in their funding allocations

Local authorities can access their APT using the data collection portal. Further information on this access will be emailed directly to local authorities. This is to ensure the security of the information contained within the documents is maintained. Any local authority unable to access their APT should [contact ESFA using our dedicated APT mailbox](#).

This document provides local authorities with guidance on how to use the APT. The current APT is an updated version of the APT used last year for communicating formulae and schools block allocations with ESFA for 2018 to 2019.

Changes to the APT for the 2019 to 2020 financial year

A number of changes have been made for the 2019 to 2020 APT. The main points to note are:

- the minimum per pupil level of funding factor has been adjusted to reflect the change in the amounts for schools with secondary pupils.
- local authorities can now include the funding floor factor in line with the national funding formula (NFF). This factor guarantees all schools a 1% increase against their 2017 to 2018 NFF baselines.
- local authorities can now apply the NFF alternative gains cap. The cap will be calculated against the 2018 to 2019 MFG baselines and will allow schools to retain the minimum of the cap set by the local authority or 20% of their actual gain. Local authorities intending to use this factor will need to submit a disapplication request because it is too technically complex to easily incorporate in regulations.
- the Proforma sheet now includes a comparison of the total funding allocated through the APT against the DSG allocation. As the APT will be issued before the allocations are published local authorities will need to enter the figure.
- the Proforma sheet has been updated to improve the information provided. Subtotals have been added to provide clearer information. The final total now includes all funding including growth and falling rolls funding.
- an additional column has been added to the Commentary for local authorities to identify any one-off funding entered.

Funding floor protection

The Secretary of State confirmed in July 2017 that the national funding formula will provide for at least a 1% per-pupil increase in respect of each school between its 2017 to 2018 baseline and 2019 to 2020.

We have reflected these increases in local authority level schools block allocations, based on aggregated individual notional school allocations.

We have created a new, optional factor to allow local authorities to mirror the funding floor protection against 2017 to 2018 used in the national funding formula. Local authorities will continue to have the flexibility to set a positive MFG.

The funding floor factor will ensure that the amount a school is allocated through the local formula is at least 1% greater than the school's 2017 to 2018 funding floor baseline. This increase will be exempt from any capping and scaling applied by the local authority through their formula.

This factor is fixed at a 1% increase. Local authorities will not be able to vary this percentage. If local authorities want to provide a positive increase to all schools but do not want to set this at 1% against 2017 to 2018, they should not use this factor and instead use their existing flexibility to set a positive MFG.

The Authority Pro-Forma Tool has been populated with the 2017 to 2018 funding floor baselines used in the national funding formula. These baselines include the pupil-led funding the school received in 2017 to 2018 (except funding through the mobility factor), and the difference between the lump sum and sparsity funding they received in 2017 to 2018 and the lump sum and sparsity funding they attracted under the national funding formula in 2017 to 2018. These baselines do not include funding the school received through the premises factors, the mobility factor and any one-off funding in 2017 to 2018.

For most schools, the 2017 to 2018 funding floor baselines will be the same as those used in the national funding formula in 2018 to 2019. For a small number of schools, this is not the case. These schools include:

- new schools that are included in the national funding formula for the first time in 2019 to 2020: we have calculated theoretical baselines for these schools using the average 2017 to 2018 baseline for schools of the same phase within the same local authority. More information on how we have calculated these baselines is set out in Annex B.
- schools that have amalgamated since 2017 to 2018: We have added together the predecessor schools' baselines, but only using one lump sum, and divided this by the pupil count to create a per-pupil baseline.
- schools that have split since 2017 to 2018: Where schools have split but are the same phase as their predecessor school, we have used the same 2017 to 2018 baseline as their predecessor school. Where schools have split into schools that are a different phase from their predecessor school, we have calculated a theoretical baseline using the same approach as for new schools.

If local authorities choose to use this factor, a baseline must be entered for all schools.

Where we have calculated a theoretical baseline, local authorities can amend this baseline without submitting a disapplication if this is more appropriate given their local knowledge. Local authorities should discuss this with the relevant school.

If local authorities are entering a new school on the APT that we have not provided a theoretical baseline for, they can mirror the methodology we have used or use local knowledge to set a theoretical baseline.

Local authorities will not be able to adjust actual baselines, that is those that are not theoretical. This is because the baselines we have provided are those used in the national funding formula and the purpose of this factor is to enable local authorities to mirror the formula precisely.

The 2019 to 2020 allocation used to calculate if schools are eligible for further funding through the funding floor factor will exclude all premises costs including those entered as exceptional circumstances funding on the Local Factors worksheet.

Funding through this factor will count towards the requirement for local authorities to spend a minimum of 80% of their funding through the pupil-led factors.

Interaction between the funding floor factor and the MFG

Local authorities that want to pass on gains through the national funding formula funding floor will generally be able to do so by setting a positive MFG, without needing to use the optional funding floor factor. This will also give local authorities the flexibility to manage affordability in the context of changing pupil characteristics, high needs budget transfers or growth funding top slices.

We anticipate that local authorities aiming to mirror the national funding formula may need to use the funding floor factor in scenarios where:

- only some schools in the area are on the funding floor in the national funding formula, so setting a positive MFG would not achieve the same outcome as the funding floor
- the amount that schools received in 2018 to 2019 is very different from the amount they attracted under the national funding formula.

We would recommend that local authorities model both options and consider the impact at a local level.

If a local authority does use the funding floor factor, they are still required to set an MFG. This is to ensure that schools are still protected against significant year-on-year changes. For a small number of schools, this may mean that the MFG brings the school above the level it has attracted through the 2019 to 2020 national funding formula.

Timeline

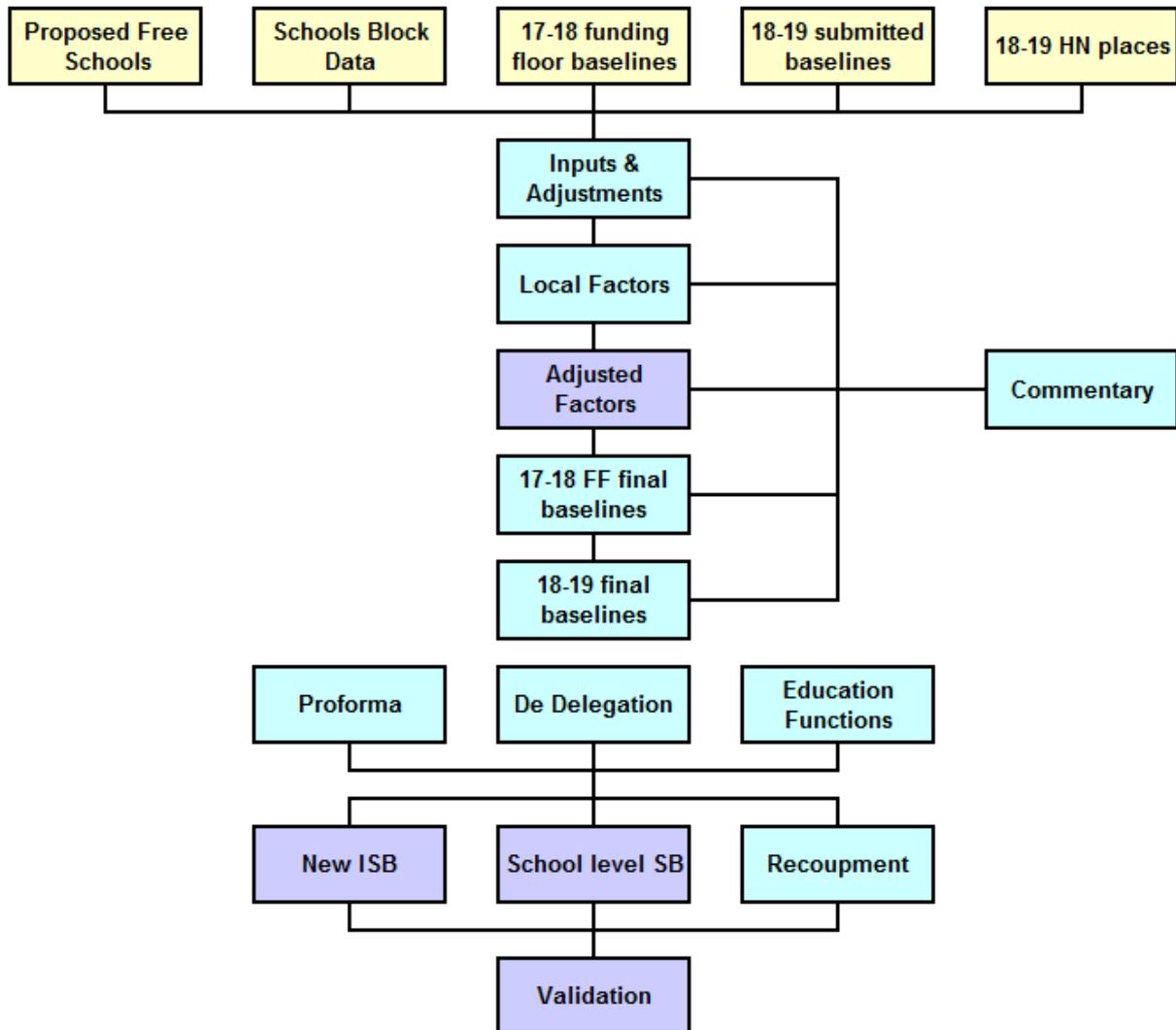
December 2018

The December APT is the version that local authorities must complete and submit to provide the ESFA with their final 2019 to 2020 schools block funding formulae in January 2019. The December APT will be populated with schools block data for 2019 to 2020, primarily drawn from the October 2018 schools census.

January 2019

The completed APT must be returned via the data collection portal by 21 January.

APT sheet diagram



Colour coding:

- Prepopulated data sheet
- User input sheet
- Calculation / output sheet

Figure 1: APT diagram

APT structure and key components

Figure 1 shows the different sheets contained within the APT. This section provides detailed information about each of the sheets.

The tool has been developed using Excel. If you experience any compatibility issues please contact ESFA.

Prepopulated data

There are four prepopulated worksheets:

- the Schools Block Data sheet contains data taken primarily from the October 2018 school census relating to the permitted pupil-led indicators for each school and academy in the local authority at census date
- the 2017 to 2018 funding floor baselines sheet contains NFF funding floor baselines for each school and academy for 2017 to 2018.
- the 2018 to 2019 submitted baselines sheet contains funding allocations for each school and academy for 2018 to 2019 as submitted by local authorities to ESFA in January 2018
- the 2018 to 2019 HN places sheet contains the information held by ESFA on the number of pre-16 high needs places in each maintained school and academy
- maintained school information has not been collected from local authorities for several years so may be out of date
- further information about this data can be found in the [high needs: allocated place numbers publication](#) publication
 - the Proposed Free Schools sheet contains information regarding free schools not included on the October 2018 census day but proposed to open before the end of the financial year 2019 to 2020

These sheets are locked, and so the data cannot be modified.

User input sheets

Sheets and cells that require a degree of user input are shown in light blue in figure 1. The Inputs & Adjustments, Local Factors, 17-18 FF final baselines and 18-19 final baselines sheet are where the user can record adjustments to the data provided in the Schools Block Data sheet and 18-19 submitted baselines prepopulated sheets, and enter further relevant input data about schools and funding baselines. These sheets together therefore contain the data required in order for the APT to be able to automatically calculate school-level budgets for you. Entries made on the Inputs & Adjustments sheet will in many cases change the order of the schools on subsequent pages of the APT so should be completed in full before making any other changes.

The Proforma user input sheet is where users can specify unit funding amounts for each of the permitted schools block formula factors. In the De-Delegation sheet users can specify de-delegation unit values. The other user input sheets shown on the diagram are where data should be entered which is required by ESFA for checking formulae for consistency with funding regulations, for calculating academy budgets, and for estimating local authority recoupment.

Automatic calculation sheets

Automatic calculation sheets, or sheets which contain a degree of automatic calculation, are shown in purple. The automatic calculation cells of the APT are also purple. These sheets are populated automatically using cell formulae from the data contained in the prepopulated and user input sheets. The purple cells and their formulae cannot be edited, although the user can click on any of them to view the formula used to populate it.

Automatic calculation has been used wherever possible in the APT to avoid local authorities having to do unnecessary additional calculations and to prevent using the same pieces of data in more than one place in the sheet. For example, the New ISB sheet calculates the funding allocated to each school under each factor, based on the data provided in the prepopulated sheets and the user input sheets and funding formula factors specified in the Proforma sheet, rather than requiring local authorities to carry out the same calculation themselves and enter the results.

Please do not attempt to unlock and amend the yellow prepopulated cells or the purple automatic calculation cells. If you submit your APT with any of the protections removed, ESFA will immediately request that you resubmit with the protections restored as in the version provided to you.

The sheets and cells of the APT where the user can input data or record amendments to the prepopulated data are shown in light blue; those which the user cannot amend are shown in light yellow and purple.

Data checking and validation

A number of the light blue user input cells within the APT contain data validation at the point of entry to prevent users submitting erroneous or not permitted data. The automatically calculated Validation sheet highlights any places in the APT where the user has entered erroneous or inconsistent data, which cannot be prevented on cell entry, or has failed to provide some required information.

Using the APT

Detailed information about how to use each sheet can be found in the remaining sections of this guidance.

Step 1

On receipt of the tool, the user should initially review the five prepopulated sheets ([Schools Block Data](#), [17-18 FF final baselines](#), [18-19 submitted baselines](#), [18-19 HN places](#), [Proposed Free Schools](#)). The lists of schools shown in the first three sheets reflect, respectively, the maintained schools and academies in the local authority as at the date of the October 2018 school census, the 2017 to 2018 NFF baselines, and the maintained schools and academies listed on the final local authority 2018 to 2019 proforma return. The user should review the list of maintained schools and academies to be funded in the 2019 to 2020 financial year as it may have changed since this data was compiled. The [18-19 HN places](#) sheet shows the planned pre-16 high needs places as submitted to the ESFA as at May 2018, and is for information purposes only; this data does not feed into any calculations in the APT. The proposed free schools sheet contains details of any free schools proposed to open after the October census date but before the end of the 2018 to 2019 academic year.

The Schools Block Data and the Proposed Free Schools data will be updated for the final version of the APT released in December.

Step 2

The user should then use the [Inputs & Adjustments](#) sheet to record changes to the list of schools shown in the [Schools Block Data](#) sheet where this does not reflect the maintained schools and academies to be funded from the schools block in 2019 to 2020. New schools to be added to the list, closed schools to be removed from the list, schools which have or will be amalgamated, and academy conversions, should all be recorded here. Users can also use this sheet to record where a school's number on roll (NOR) data or proportion(s) of pupils to which the per pupil formula factors apply in the prepopulated [Schools Block Data](#) sheet are unrepresentative of the situation of the school in 2019 to 2020. Guidance on the circumstances under which local authorities can amend the pupil numbers or factors data for a school is given in [annex A](#). Any schools listed on the [Proposed Free Schools](#) sheet should be added to the [Inputs & Adjustments](#) sheet.

Step 3

Changes recorded in the [Inputs & Adjustments](#) sheet will automatically be reflected in the school list shown down the left hand side of the [Local Factors](#) sheet. This school list is automatically replicated on all the other sheets of the APT so it is vitally important that the user reviews the list shown in the [Local Factors](#) sheet to ensure it reflects the maintained schools and academies expected to be funded in 2019 to 2020. If the list is incorrect then

revisit the [Inputs & Adjustments](#) sheet and record any further changes necessary before entering any data in the [Local Factors](#) sheet. The list of schools shown here is now referred to in this section as the '19-20 list'.

Step 4

The light blue user input cells of the [Local Factors](#) sheet need to be populated. You will need to enter additional local factor information relevant to each school, such as rates or agreed exclusions etc. This should be done once all the required entries on the Inputs & Adjustments sheet have been completed. The [Adjusted Factors](#) sheet automatically displays the numbers on roll and number of pupils eligible for each permitted pupil-led factor, based on information contained in the [Schools Block Data](#), [Inputs & Adjustments](#) and [Local Factors](#) sheets. No data entry is required here but users will wish to inspect this sheet when modelling different options.

Step 5

You should now review the [17-18 funding floor baselines](#) sheet. Schools in the 19-20 list that are also shown in the prepopulated [17-18 FF final baselines](#) sheet are automatically populated with the 2017 to 2018 baselines data. In the light blue user input cells, you will need to input information relating to baselines for new schools entered on the [Inputs & Adjustments](#) sheet. You will also need to enter updated baselines for any amalgamated schools entered on the [18-19 submitted baselines](#) sheet.

Step 6

You should now review the [18-19 final baselines](#) sheet. Schools in the 19-20 list that are also shown in the prepopulated [18-19 final baselines](#) sheet are automatically populated with the 18-19 baselines data. In the light blue user input cells, you will need to input information relating to baselines for new schools entered on the [Inputs & Adjustments](#) sheet and also any amendments required from reviewing the [18-19 submitted baselines](#) sheet, such as adjustments to 18-19 MFG NOR.

You will have now entered all the raw input data necessary to set up the APT for modelling different funding formula options.

Step 6

Use the [Proforma](#) sheet to enter your schools block funding formula, including:

- the details required for calculating the minimum per pupil funding factor
- the unit funding values such as age-weighted pupil units (AWPUs)
- the indicators used to calculate factors such as deprivation
- the lump sums

Enter de-delegation unit values on to the [De-Delegation](#) sheet and the unit value for the education functions for maintained schools on the [Education Functions](#) sheet. The [New ISB](#) sheet displays the resultant allocations to the individual schools in your 19-20 list, including MFG funding and capping/scaling. Use the [Validation](#) sheet to check that your current scenario or option passes various data checks, to help ensure nothing has been entered in error or missed out. The elements of this page which highlight whether the user has failed to provide some required commentary can be ignored for modelling purposes.

We anticipate that users will use and refer primarily to the [Local Factors](#), [Proforma](#), [De-delegation](#), [New ISB](#) and [Validation](#) sheets to explore and analyse different options for 2019 to 2020 funding formulae.

Step 7

The [Commentary](#), [School level SB](#) and [Recoupment](#) sheets do not need to be used for modelling different funding formulae options for 2019 to 2020, although users may find them helpful. The [Recoupment](#) sheet shows all the academies in the 19-20 list, and allows the user to estimate the amount of DSG funding that will be recouped by the ESFA for each school in the 19-20 list. It is largely automatically populated from data entered elsewhere in the APT, although it is here that users are required to enter details of growth funding adjustments for the period April 2018 to August 2018.

Step 8

When your modelling is complete you should ensure that all applicable light blue user input cells have been filled in. You should also ensure that you have completed the contact details in rows 5 to 7 of the Cover sheet, and that all the checks highlighted in the [Validation](#) sheet have passed. Ensuring all the validation checks pass includes providing an explanation in the [Commentary](#) sheet, the [Inputs & Adjustments](#) sheet and elsewhere if you have included any additional factors. Please also ensure you delete any extra sheets you may have added to the APT for modelling purposes and remove any macros you may have added (the Data Collection Portal will not allow you to upload macro enabled workbooks). Furthermore, please also ensure that if your APT's input cells contain links to other spreadsheets, you break the links so that all input cells are populated by values. The [School level SB](#) sheet allows the user to display the funding an individual school receives under the formula entered in the APT. There is space for local authorities to include their logo or crest on this page, and you may find it helpful for generating a summary of 2019 to 2020 funding which you can send to schools in your area.

Each of the sheets and how to use them are described in much greater detail in the following pages.

Further details of 2019 to 2020 funding arrangements can be found in [Pre-16 schools funding: guidance for 2019 to 2020](#).

Cover sheet

This sheet gives information about the APT. The main table lists each of the sheets and provides a brief explanation. Some of the automatic calculations shown in purple cells throughout the APT use Excel named ranges to help simplify the formulae; this page contains a table showing the cell(s) each named range relates to.

The table at the top of this sheet must be completed before the APT is submitted to ESFA. Please record the name of the local authority officer who submitted the APT, their email address and phone number. Space has been provided for you to enter the details of up to three local authority officers here; however, it is essential that you provide the details for at least one officer in cells C5 to C7. We will use these details to contact you for further information or clarification where necessary. We may also use the details to contact you in relation to other aspects of school funding.

Users are required to either check the box confirming political ratification has already been received or enter in cell C14 the date on which they expect to receive final political ratification of the formula. Political ratification is the approval needed under the local authorities' internal scheme of delegation required for them to be able to issue budgets to maintained schools before 28 February. It may be by the local authority's Cabinet, Cabinet member, Mayor or Director of Children's Services (DCS), but not the schools forum because that only has a consultative role for the formula. The date must be before 28 February 2019, though we would expect a date substantially earlier than this to enable local authorities to meet the requirement to issue budgets to maintained schools before the end of February. A validation error will occur where users do not either check the box or enter a valid date.

Schools Block Data sheet

This sheet contains the school-level pupil numbers and indicators, based on Autumn (October) 2018 school census returns. The table below summarises the source data for each indicator.

A detailed description of all the data items can be found in the [schools block dataset technical specification](#) which has been published alongside this guidance.

Data	Breakdown	Data source
School list	LAEstab, URN, local authority, phase, primary year groups, secondary year groups.	Mainstream schools on Autumn 2018 census. URN is matched from Edubase.
Academy type	Academy status	Taken from the department's records – showing status as at October 2018.
London fringe	1 – not London fringe 1.0156360164 – London fringe Alternative London fringe values based on the ACA factor in the NFF calculations: Buckinghamshire: 1.0175 Essex: 1.0335 Hertfordshire: 1.0302 Kent: 1.0364 West Sussex: 1.0561	District as mapped from the school postcode in the autumn 2018 census.
Number on roll (NOR)	Primary, secondary, reception, years 1-6, key stage 3, key stage 4, year 7, year 8, year 9, years 10-11.	Autumn 2018 census.
Reception difference	Difference between on roll in Year R, Autumn 2017 and Spring 2018.	Autumn 2017 and spring 2018 census.
FSM	Separate primary/secondary.	Autumn 2018 census.
FSM ever 6	Separate primary/secondary.	2018 to 2019 pupil premium ever 6 data mapped to the spring 2018 census. Where FSM ever 6 ratio is lower than the FSM ratio it will be increased to the same value.
IDACI	IDACI scores taken from the 2015 IMD data split into six different bands, separate primary/secondary.	Postcodes mapped from autumn 2018 census.

Data	Breakdown	Data source
English as an additional language	1st, 1st – 2nd, 1st – 3rd year in system; separate primary/secondary.	Autumn 2018 census for language group, plus Autumn 2015, 2016 and 2017 censuses. Mapping on UPN for on-roll records.
Looked-after children	Aggregated information indicating looked-after children (at 31 March 2018).	SSDA903 March 2018 data mapped onto the spring 2018 census via NPD.
Primary phase prior attainment	Y1-6 who did not achieve a good level of development.	EYFSP total score mapped to the autumn 2018 census. Mapping on UPN only.
Secondary phase prior attainment	Y7, Y8 and Y9 who did not achieve the expected level of attainment. Y10-11 who did not achieve the expected level of attainment.	KS2 attainment data mapped to the autumn 2018 census. Mapping on UPN only.
Mobility	Start date in last three academic years; separate primary/secondary.	Autumn 2018 census.
Sparsity	Primary, secondary, middle, all-through.	Autumn 2018 census, Edubase.

Table 1: Schools Block Data contents

Please note that this is a locked sheet and you cannot make any amendments to it. If you wish to amend any of the schools block data, use the Inputs & Adjustments sheet.

For the sparsity factor, all middle and all-through schools' sparsity distances are given under the 'Secondary sparsity av. Distance to 2nd school' column in the Schools Block Data sheet. This is a presentational issue only and the rules for pupil numbers and distances are different for middle, all-through and secondary schools.

17-18 funding floor baselines sheet

This sheet contains the 2017 to 2018 NFF school-level baselines including the theoretical baselines for those schools which do not have a 2017 to 2018 baseline. This data is used to populate the [17-18 FF final baselines](#) sheet which then calculates the 2019 to 2020 funding floor per pupil school budget share (SBS).

Please note that this is a locked sheet and you cannot make any amendments to it. Please use the 17-18 FF final baselines sheet to make any amendments to the theoretical baselines or to add a baseline for schools which do not have one in the data provided.

18-19 submitted baselines sheet

This sheet contains the 2018 to 2019 school-level baselines submitted by local authorities to ESFA, covering the maintained schools and academies. This data is used to populate the [18-19 final baselines](#) which then calculates the 2018 to 2019 MFG per pupil school budget share (SBS).

Please note that the 18-19 number on roll (NOR) column includes reception uplift (if applicable).

Please note that this is a locked sheet and you cannot make any amendments to it. Please use the [18-19 final baselines](#) sheet to make any amendments.

18-19 HN places sheet

This sheet contains the latest information held by ESFA on the number of pre-16 high needs places in each mainstream school or academy with a special unit or resourced provision in your local authority. The information for academies relates to 2018 to 2019, as collected via the high needs templates submitted by local authorities to ESFA. The information for maintained schools has not been collected by this means for several years, so could be out of date now.

This sheet is included for information purposes only and does not feed into any calculations in the APT. You will not be able to make any amendments to this sheet. Local authorities should use the Local Factors sheet to provide details about:

- special units or resourced provision at each school, that are designated as such by the local authority for making special provision for pupils with statements of SEN or education, health and care (EHC) plans
- the numbers of primary, key stage 3 and key stage 4 pupils who are registered at the school (main registrations only) and occupying places in the unit. The numbers must exclude pupils in those places who are not registered at the school or are in a nursery class (see the section about the Local Factors sheet for more information)

You may wish to refer to this prepopulated sheet when providing the required data in the Local Factors sheet.

Proposed Free Schools

This sheet contains details of free schools not included on the October 2018 census and proposed to open before the end of 2019 to 2020.

This sheet is included for information purposes only and does not feed into any calculations in the APT. You will not be able to make any amendments to this sheet.

Local authorities should use the information held on this sheet to enter the schools on the [Inputs & Adjustments](#) and, where the school is not open for the whole year, the [Local Factors sheet](#) sheet. The sheet includes ratios for each of the factors included in the schools block taken from the local authority averages and, where applicable, the proportion of the year for which the school will be open. The data does not contain a full breakdown of the pupil numbers. To enable you to input this information the expected minimum and maximum pupil numbers are included.

Inputs & Adjustments sheet

This sheet allows users to make adjustments to the data for maintained schools and academies prepopulated in the [Schools Block Data](#) sheet where the schools or pupil details do not reflect the schools a local authority expects to fund during 2019 to 2020 or their current situation. Data is taken from the October 2018 school census so may not reflect the current position within the local authority. Recording changes in this way aims to make it easier for local authorities and ESFA to see the amendments made.

Users should use this page to record:

- where schools in the Schools Block Data sheet have closed, or will close before 1 April 2019
- new schools which have opened or are expected to open before the end of the 2019 to 2020 financial year, including new academies and free schools (including free schools opening after 1 September 2019 which will be recoupable in 2019 to 2020)
- schools which have amalgamated since the October census, or are expected to amalgamate before or on 1 April 2019
- where maintained schools have converted to academy status before 7 January 2019
- for existing schools, changes to the figures in the Schools Block Data sheet for numbers on roll or proportions of pupils eligible for each pupil-led indicator, where the October 2018 data does not reflect the current position (guidance on the circumstances under which local authorities can amend the pupil numbers or factors data for a school is given in annex A)

Inputs and adjustments sheet

The adjustments the user records in this sheet will not be reflected in the Schools Block Data sheet, as this is locked and cannot be changed. Any changes recorded which affect the list of schools (such as new schools, closed schools, mergers) will be reflected in the list of schools shown in the Local Factors, Adjusted Factors, 17-18 FF final baselines, 18-19 final baselines, De-Delegation, New ISB and Recoupment sheets.

It is therefore vitally important that, having recorded adjustments in the Inputs & Adjustments sheet, the user reviews the school list shown in the Local Factors sheet to ensure it reflects the maintained schools and academies expected to be funded in 2019 to 2020, before entering data here.

Any changes made to the numbers on roll or proportions of pupils eligible for each pupil-led indicator for a school will be reflected in the data shown in the [Adjusted Factors sheet](#).

In the [Inputs & Adjustments](#) sheet, users recording changes to the data for a school must enter the proportions of pupils eligible for each indicator under the deprivation, English as an additional language (EAL), looked-after children (LAC), prior attainment and mobility factors. The data shown in the [Adjusted Factors](#) sheet for these factors has been converted to a pupil number basis.

Recording an adjustment to the schools block data

Please click on the first blank cell in column A ('Reason for adjustment'), then click on the dropdown arrow which appears to the right of the cell and select one of the possible reasons for adjustment shown; see Figure 1. If you cannot see the dropdown arrow then ensure that you have scrolled all the way to the left of the sheet, so that column B can be seen; the arrow should now be visible.

When you select one of the options, some or all of the cells in that row will automatically change from grey to light blue. The cells which you may need to fill in are highlighted in light blue. Data should not be entered in cells which remain greyed out. Any data input in the greyed out cells will not be used in the formula calculations.

Please ensure you fill in all the light blue cells (except if you have selected 'change in pupil numbers/factors' in which case you only need to fill in the data for the factors that have changed; see below) and provide a narrative in column BN in all cases to explain the change. If you omit any information the calculations in the subsequent sheets may be incomplete.

If you record a changed number on roll figure in any of the columns R to AB (which have pink column headings), then you must record the relevant number on roll figures for that school under all these columns, including entering zeroes where appropriate. If you record a changed number on roll figure please do not leave any of these pink columns blank.

Please note that the subsequent sheets in the APT are using the LAEstabs as lookup references, so please ensure you input those correctly. The LAEstab must be 7 digits long. If you don't yet know the LAEstab of a school please provide a 7-digit temporary number. **The first three digits must be your local authority number and the last four digits must be numeric, such as 9999.** Letters are not allowed and will cause a validation failure. The URN must be 6 digits long. If you don't yet know the URN of a school please provide a 6-digit temporary number. **In this case the first three digits must be your local authority number and the last three digits must be numeric, such as 999.** Letters are not allowed and will cause a validation failure.

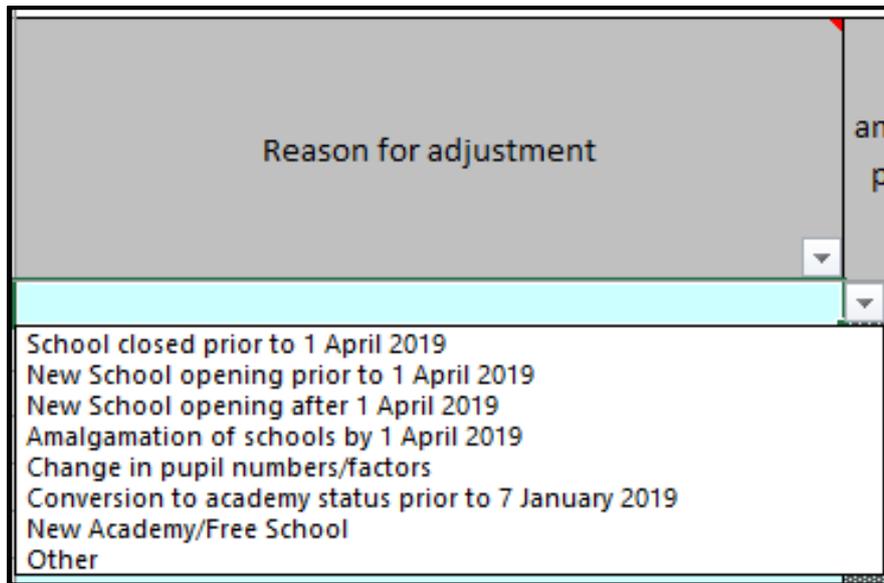


Figure 2: Inputs & Adjustments

A comprehensive list of all the reasons for adjustments is provided below, together with step-by-step guidance on how to record these reasons in the sheet. In each case, an explanation describing the adjustment being made must be provided in column BN.

Please note that only one line can be used for each establishment. For example, if you need to record a conversion to academy status, and a change in pupil numbers for a single institution, you need to do this in a single line of this sheet.

In the sections below regarding changing the school characteristics the standard London fringe rate is highlighted. In addition to this rate users will also be able to select the alternative rate based on the ACA differential. Details of these alternative rates are included in the table below.

Local Authority	Multiplier
Buckinghamshire	1.0175
Essex	1.0335
Hertfordshire	1.0302
Kent	1.0364
West Sussex	1.0561

Table 2: Alternative London fringe rates based on ACA

School closed prior to 1 April 2019

- Select this option if a school appears in the Schools Block Data sheet, but has since closed, or is due to close prior to the start of the financial year 2019 to 2020. Use this option only for schools that have closed, or will have closed, prior to 1 April 2019. For schools closing during the 2019 to 2020 financial year you should not record the closure in this sheet, and should instead adjust the opening/closing proportion for the school as appropriate in column O of the Local Factors sheet
- Enter the LAEstab of the school in column G

New School opening prior to 1 April 2019

- Please select this option for any brand new maintained schools opening prior to 1 April 2019. A school converting from the private sector prior to 1 April 2019 should be recorded here. Do not use this option to record a new academy or free school opening: use the specific dropdown option for this and follow the relevant instructions below
- Enter the URN, LAEstab and Name of the new school in columns F, G and H
- Enter the new school's phase and academy type (if applicable) in columns I and J, click on the cells and select an option from the dropdown list
- If the school is on the London Fringe, click on the cell in column K and select the 1.0156... entry from the dropdown list, otherwise select 1. The default option is 1
- If the school is a middle-deemed school, enter the number of primary year groups and secondary year groups it contains in columns L and M. If you leave these columns blank for a middle school, it will be given a zero lump sum. But do leave these cells blank if the school is primary, secondary or all-through
- For all schools, enter the number of primary year groups and secondary year groups it contains in columns N and O and the number of key stage 3 and key stage 4 year groups in columns P and Q. For middle schools, this will need the values already entered in columns L and M to be re-entered in columns N and O
- Enter the school's total, primary, reception, Y1-6, secondary, KS3, KS4, Y7, Y8, Y9 and Y10-11 numbers on roll in columns R to AB. You must enter a figure (including a zero) in all these cells
- Enter the number of additional pupils for the Reception Uplift in column AC (this is any increase in the NOR in Reception between October 17 and January 18. If there is a decrease then zero should be entered)

- Enter the proportions of pupils at the school eligible for each of the deprivation, EAL, LAC, prior attainment and mobility indicators in columns AD to BJ, and your estimate of the sparsity average distance for the school in column BK (for primary schools' distances) or column BL (for secondary, middle and althrough schools' distances)
- Where estimated pupil numbers for new and growing schools have been input into columns R to AB, they should generally reflect the actual pupil numbers expected at the school during the next year. We understand, however, that in some instances, local authorities may provide a guaranteed level of funding, based on an assessment of the number of pupils needed in particular year groups to make the new school viable, that is the estimated pupil numbers include an element of diseconomy costs. If this is the case, please ensure that the 'pupil numbers guaranteed' box in column BL is shown as 'yes'.
- Briefly provide the rationale underpinning any estimates in column BM
- Where the pupil numbers entered in columns R to AB include an apportioned amount representing pupils only present at the school for part of the financial year select Yes from the drop down list in column BN. Enter the number of months during the 2019 to 2020 financial year which the pupils will be at the school in column BP (if you record this as days or weeks please convert the amount to months – for example if the pupils were present for 100 days then enter 100 divided by 365 multiplied by 12). Where apportioned financial year pupil numbers have been entered please enter the full academic year numbers in columns BQ to BS. The columns BU to CQ will calculate the total number on roll during the 2019 to 2020 academic year. The academic year pupil numbers and the adjusted numbers are not used within any further calculations within the APT and are for validation purposes only. If the apportioned NOR represents multiple changes in pupil numbers during the year enter 'Yes' in column BP and provide additional information to enable us to calculate the correct academic year pupil numbers.

New School opening on or after 1 April 2019

Please select this option for any brand new maintained schools opening from 1 April 2019 onwards. A school converting from the private sector from 1 April 2019 onwards should be recorded under this reason.

- Enter the URN, LAEstab and Name of the new school in columns F, G and H
- Enter the new school's phase and academy type (if applicable) in columns I and J, click on the cells and select an option from the dropdown list

- If the school is on the London Fringe, click on the cell in column K and select the 1.0156... entry from the dropdown list, otherwise select 1. The default option is 1
- If the school is a middle-deemed school, enter the number of primary year groups and secondary year groups it contains in columns L and M. If you leave these columns blank for a middle school, it will be given a zero lump sum. But do leave these cells blank if the school is primary, secondary or all-through
- For all schools, enter the number of primary year groups and secondary year groups it contains in columns N and O and the number of key stage 3 and key stage 4 year groups in columns P and Q. For middle schools, this will need the values already entered in columns L and M to be re-entered in columns N and O
- Enter the school's total, primary, reception, Y1-6, secondary, KS3, KS4, Y7, Y8, Y9 and Y10-11 numbers on roll in columns R to AB. You must enter a figure (including a zero) in all these cells.
- Enter the number of additional pupils for the Reception Uplift in column AC (this is any increase in the NOR in Reception between October 17 and January 18. If there is a decrease then zero should be entered).
- Enter the proportions of pupils at the school eligible for each of the deprivation, EAL, LAC, prior attainment and mobility indicators in columns AD to BJ, and your estimate of the sparsity average distance for the school in column BK (for primary schools' distances) or column BL (for secondary, middle and all-through schools' distances).
- Where estimated pupil numbers for new and growing schools have been input into columns R to AB, they should generally reflect the actual pupil numbers expected at the school during the next year. We understand, however, that in some instances, local authorities may provide a guaranteed level of funding, based on an assessment of the number of pupils needed in particular year groups to make the new school viable i.e. the estimated pupil numbers include an element of diseconomy costs. If this is the case, please ensure that the 'pupil numbers guaranteed' box in column BL is shown as yes.
- Briefly provide the rationale underpinning any estimates in column BM.
- Users must enter the proportion of the 2019 to 2020 financial year for which the new school will be open in column O of the Local Factors sheet. It will be given as 1.00 (indicating the school is open for the whole of the year) by default unless changed

Amalgamation of schools by 1 April 2019

- Please select this option if two or more academies have been amalgamated before or on 1 April 2019. This option should also be

used where two or more **maintained** schools have been amalgamated into a maintained school **before or on 1 April 2019** (please see 'Conversion to academy status prior to 7 January 2019' to record the mergers of an academy and a maintained school or two or more maintained schools into an academy).

- Enter the LAEstabs of the predecessor schools in columns B to E. **It is essential that the predecessor LAEstabs are entered and are correct so that the schools concerned do not appear in the lists in the subsequent sheets of the APT and to prevent schools appearing twice.**
- Enter the URN, LAEstab and Name of the resultant school in columns F, G and H (even if the school is keeping the LAEstab of one of the predecessor schools).
- Enter the new school's phase and academy type (if applicable) in columns I and J – click on the cell and select an option from the drop-down list.
- If the school is on the London Fringe, click on the cell in column K and select the 1.0156... entry from the drop-down list, otherwise select 1. The default option is 1.
- If the school is a middle-deemed school, enter the number of primary year groups and secondary year groups it contains in columns L and M. If you leave these columns blank for a middle school, it will be given a zero lump sum. But do leave these cells blank if the school is primary, secondary or all-through.
- For all schools, enter the number of primary year groups and secondary year groups it contains in columns N and O and the number of key stage 3 and key stage 4 year groups in columns P and Q. For middle schools, this will need the values already entered in columns L and M to be re-entered in columns N and O
- Enter the school's total, primary, reception, Y1-6, secondary, KS3, KS4, Y7, Y8, Y9 and Y10-11 numbers on roll in columns R to AB. You must enter a figure (including a zero) in all these cells.
- Enter the number of additional pupils for the Reception Uplift in column AC (this is any increase in the NOR in Reception between October 17 and January 18. If there is a decrease then zero should be entered).
- Enter the proportions of pupils at the school eligible for each of the deprivation, EAL, LAC, prior attainment and mobility indicators in columns AD to BJ, and your estimate of the sparsity average distance for the school in column BK (for primary schools' distances) or column BL (for secondary, middle and all-through schools' distances).
- Where estimated pupil numbers for new and growing schools have been input into columns R to AB, they should generally reflect the actual pupil numbers expected at the school during the next year. We understand,

however, that in some instances, local authorities may provide a guaranteed level of funding, based on an assessment of the number of pupils needed in particular year groups to make the new school viable i.e. the estimated pupil numbers include an element of diseconomy costs. If this is the case, please ensure that the 'pupil numbers guaranteed' box in column BL is shown as 'yes'.

- **Warning:** it is important that none of the cells for this school in columns H to BK are left blank, so the APT's calculations of the school's allocations are based on all relevant data. This is particularly critical if the school has kept the LAEstab of one of its predecessors: for any blank cell in columns H to BK, the APT will use the predecessor's data from the Schools Block Data sheet. For schools with new LAEstabs, blank cells will be treated as zero
- Where the pupil numbers entered in columns R to AB include an apportioned amount representing pupils only present at the school for part of the financial year select Yes from the drop down list in column BN. Enter the number of months during the 2019 to 2020 financial year which the pupils will be at the school in column BP (if you record this as days or weeks please convert the amount to months – for example if the pupils were present for 100 days then enter 100 divided by 365 multiplied by 12). Where apportioned financial year pupil numbers have been entered please enter the full academic year numbers in columns BQ to BS. The columns BU to CQ will calculate the total number on roll during the 2019 to 2020 academic year. These academic year pupil numbers and the adjusted numbers are not used within any further calculations within the APT and are for validation purposes only. If the apportioned NOR represents multiple changes in pupil numbers during the year enter 'Yes' in column BM and provide additional information to enable us to calculate the correct academic year pupil numbers.

Change in pupil numbers or pupil factors

- Please select this option where a school shown in the prepopulated [Schools Block Data](#) sheet is due to be funded for all or part of 2019 to 2020, but its NOR or proportion for one or more of the indicators have changed compared to the prepopulated data. ESFA approval is required for any variations in the NOR except for new and growing schools, when the use of estimated numbers is required by regulations, or where an authority wishes to increase numbers for schools whose admission limit has increased or where there has been a reorganisation. More guidance on the circumstances under which local authorities can amend the pupil numbers or factors data for a school are given in [Annex A](#)
- Enter the URN, LAEstab and Name of the school in columns F, G and H

- If the school is on the London Fringe, click on the cell in column K and select the 1.0156... entry from the dropdown list, otherwise select 1. The default option is 1. You must ensure the correct value is shown here even if there should be no change from the value entered in the [Schools Block Data](#) sheet
- In columns I and J and columns L to BK, please enter data only for the phase, academy type, NOR or proportions where a change is needed from the information and figures in the [Schools Block Data](#) sheet. You do not need to re-enter data in these columns where no change is needed and should leave such cells blank. The APT's formulae in the subsequent sheets will automatically pick up the relevant data from the [Schools Block Data](#) sheet
- Warning: If you are recording a change to a school's NOR, you should enter values in all of the columns R to AB even if some of these are zero. If you leave any of these blank, then the APT's validation process will flag up an issue that will need correcting prior to submission. This includes any phases not relevant to the school, so primary amendments will need a zero in the secondary elements and vice versa. This is only applicable to the pupil numbers element. The factors values can remain blank if they are to remain unchanged
- Where estimated pupil numbers for new and growing schools have been input into columns R to AB, they should generally reflect the actual pupil numbers expected at the school during the next year. We understand, however, that in some instances, local authorities may provide a guaranteed level of funding, based on an assessment of the number of pupils needed in particular year groups to make the new school viable i.e. the estimated pupil numbers include an element of diseconomy costs. If this is the case, please ensure that the 'pupil numbers guaranteed' box in column BL as yes.
- For all approved variations to the NOR, you must provide detailed calculations of your changes in column BM. This should include the methodology used to convert pupil numbers from financial to academic year, as well as the NOR for both financial and academic years where pupil numbers have varied.
- Where the pupil numbers entered in columns R to AB include an apportioned amount representing pupils only present at the school for part of the financial year select 'Yes' from the drop down list in column BN. Enter the number of months during the 2019 to 2020 financial year which the pupils will be at the school in column BP (if you record this as days or weeks please convert the amount to months – for example if the pupils were present for 100 days then enter 100 divided by 365 multiplied by 12). Where apportioned financial year pupil numbers have been entered please enter the full academic year numbers in columns

BQ to BS. The columns BU to CQ will calculate the total number on roll during the 2019 to 2020 academic year. These academic year pupil numbers and the adjusted numbers are not used within any further calculations within the APT and are for validation purposes only. If the apportioned NOR represents multiple changes in pupil numbers during the year enter 'Yes' in column BQ and provide additional information to enable us to calculate the correct academic year pupil numbers.

Conversion to academy status prior to 7 January 2019

- Please select this option to record:
- a school that has converted to academy status prior to 7 January 2019. If the converter also needs a change in pupil numbers or factors compared to the predecessor to be recorded, you should enter the new data in this line
- the merger of two or more maintained schools into an academy or a merger of an academy and a maintained school
- All academies converting from 7 January 2019 onwards must be shown throughout the spreadsheet as the predecessor school. So academy conversions expected after this date should not be recorded as such in the [Inputs & Adjustments sheet](#)
- Enter the LAEstabs of the predecessor school(s) in columns B to E. **It is essential that the predecessor LAEstabs are entered and are correct so that the schools concerned do not appear in the lists in the subsequent sheets of the APT and to prevent schools appearing twice.**
- Enter the URN, LAEstab and Name of the academy in columns F, G and H, and select Recoupment Academy in column J
- If the school is on the London Fringe, click on the cell in column K and select the 1.0156... entry from the dropdown list, otherwise select 1. The default option is 1
- In column I and J and columns L to BK, if the academy has kept the LAEstab number of its predecessor maintained school, please enter data only for the NOR or proportions where a change is needed from the figures for the predecessor school contained in the [Schools Block Data sheet](#). You do not need to re-enter data for factors where no change is needed and should leave such cells blank. The APT's formulae in the subsequent sheets will automatically pick up the relevant factors data from the [Schools Block Data sheet](#)
- If the academy has a new LAEstab, you will need to enter figures in all relevant cells of column I and J and columns L to BK. This applies even if it is only the LAEstab which has changed and the remaining data for the academy is identical to that of the predecessor in the [Schools Block Data sheet](#). The columns in both sheets are in the same order so copy

the data from columns F to BF of the [Schools Block Data sheet](#) and paste it in one go into columns K to BK of the [Inputs & Adjustments sheet](#)

- If you do not know the LAEstab of a new academy, either enter the predecessor school's LAEstab (and follow the instructions two bullets above) or a temporary one (and follow the instructions in the bullet above). **If you enter a temporary LAEstab it must be 7 digits long. The first three digits must be your local authority number and the last four digits must be numeric, such as. 9999.**
- Where estimated pupil numbers for new and growing schools have been input into columns R to AB, they should generally reflect the actual pupil numbers expected at the school during the next year. We understand, however, that in some instances, local authorities may provide a guaranteed level of funding, based on an assessment of the number of pupils needed in particular year groups to make the new school viable; that is, the estimated pupil numbers include an element of diseconomy costs. If this is the case, please ensure that the 'pupil numbers guaranteed' box in column BL as yes as this will inform the way in which we fund a new academy
- If using this option to record the merger of either an academy and a maintained school or two or more maintained schools into an academy, you will also need to enter data into all these cells, as well as the LAEstabs of all predecessors in columns B to E
- Where the pupil numbers entered in columns R to AB include an apportioned amount representing pupils only present at the school for part of the financial year select 'Yes' from the drop down list in column BN. Enter the number of months during the 2019 to 2020 financial year which the pupils will be at the school in column BO (if you record this as days or weeks please convert the amount to months – for example if the pupils were present for 100 days then enter 100 divided by 365 multiplied by 12). Where apportioned financial year pupil numbers have been entered please enter the full academic year numbers in columns BQ to BS. The columns BU to CQ will calculate the total number on roll during the 2019 to 2020 academic year. These academic year pupil numbers and the adjusted numbers are not used within any further calculations within the APT and are for validation purposes only. If the apportioned NOR represents multiple changes in pupil numbers during the year enter 'Yes' in column BO and provide additional information to enable us to calculate the correct academic year pupil numbers.

New academy or free school opening

- Please select this option if a brand new academy or free school (including a free school not opening in accordance with section 6a of the Education and Inspections Act 2006) is planned to open before 31 March 2020
- Enter the URN, LAEtab and Name of the new academy in columns F, G and H. If these are not known, please provide temporary numbers
- Enter the new school's phase and academy type in columns I and J, click on the cell and select an option from the drop-down list
- If the academy is on the London Fringe, click on the cell in column K and select the 1.0156... entry from the drop-down list, otherwise select 1. The default option is 1
- Enter the school's anticipated number of primary and secondary year groups in columns L and M (for middle schools) and columns N and O (for all schools including middle schools) and the number of key stage 3 and key stage 4 year groups in columns P and Q (for all schools)
- Enter the school's total, primary, reception, Y1-6, secondary, KS3, KS4, Y7, Y8, Y9 and Y10-11 numbers on roll in columns R to AB. You must enter a figure (including a zero) in all these cells
- Enter the estimated number of additional pupils for the Reception Uplift in column AC (this is any increase in the NOR in Reception between October 17 and January 18. If there is a decrease then zero should be entered)
- Enter the estimated proportions of pupils at the school eligible for each of the deprivation, EAL, LAC, prior attainment and mobility indicators in columns AD to BJ, and your estimate of the sparsity average distance for the school in column BK (for primary schools' distances) or column BL (for secondary, middle and all-through schools' distances)
- Where estimated pupil numbers for new and growing schools have been input into columns R to AB, they should generally reflect the actual pupil numbers expected at the school during the next year. We understand, however, that in some instances, local authorities may provide a guaranteed level of funding, based on an assessment of the number of pupils needed in particular year groups to make the new school viable i.e. the estimated pupil numbers include an element of diseconomy costs. If this is the case, please ensure that the 'pupil numbers guaranteed' box in column BL as 'yes'.
- Briefly provide the rationale underpinning any estimates in column BM
- Where the pupil numbers entered in columns R to AB include an apportioned amount representing pupils only present at the school for part of the financial year select Yes from the drop down list in column BN. Enter the number of months during the 2019 to 2020 financial year

which the pupils will be at the school in column BP (if you record this as days or weeks please convert the amount to months – for example if the pupils were present for 100 days then enter 100 divided by 365 multiplied by 12). Where apportioned financial year pupil numbers have been entered please enter the full academic year numbers in columns BQ to BS. The columns BU to CQ will calculate the total number on roll during the 2019 to 2020 academic year. These academic year pupil numbers and the adjusted numbers are not used within any further calculations within the APT and are for validation purposes only. If the apportioned NOR represents multiple changes in pupil numbers during the year enter 'Yes' in column BO and provide additional information to enable us to calculate the correct academic year pupil numbers.

- Users enter the proportion of the 2019 to 2020 financial year for which the new school will be open in column O of the Local Factors sheet

Please note that you are required to complete the formula budget for all academies and free schools. Any pre-opening costs or funding for diseconomies of scale would normally come from the growth fund, although we recognise that in some cases, diseconomies costs are provided by guaranteeing funding for a particular number of pupils. The department will continue to fund pre-opening and diseconomies of scale costs for free schools which are not opening in accordance with section 6a of the Education and Inspections Act 2006.

Other

For any other reasons not outlined above please select this option.

Please hover your cursor over the column headers to view specific details of the data that each column should contain.

Schools expected to amalgamate after 1 April 2019

If two or more schools are expected to amalgamate after 1 April 2019, this should not be recorded in the [Inputs & Adjustments sheet](#). Schools merging in-year will continue with the combined budget of the two or more predecessor schools for the remainder of the year. The school list in the [Local Factors sheet](#) should show the predecessors as separate entities; the amalgamated school should not be shown.

NOR

The NOR figures for a school contained in the prepopulated [Schools Block Data sheet](#) are a direct headcount of pupils in years R to 11 taken from the October 2018 school census. They will therefore include pupils in a high needs unit at the school. Similarly, the NOR figures for a school entered by users in the [Inputs & Adjustments sheet](#) should

include all pupils in years R to 11, including those who will be educated exclusively through a high needs place at the school.

Local Factors sheet

On this sheet you will need to enter the local data that the APT requires. The school list in columns L, M and N is populated automatically based on the schools in the [Schools Block Data sheet](#) plus any adjustments recorded in the [Inputs & Adjustments sheet](#). Do not attempt to add schools to this sheet. Any changes to the school list need to be recorded using the [Inputs & Adjustments sheet](#).

It is very important to check that the school list shown in columns L, M and N displays the correct maintained schools and academies expected to be funded in the 2019 to 2020 financial year, **before entering any data here**.

If, after having entered some data in the Local Factors sheet, you then record further adjustments in the [Inputs & Adjustments sheet](#), the order of the Local Factors school list may have changed but the data you have entered in the light blue cells will stay in the same place. As such, some or all of that data may now appear against the wrong school or academy.

URN	LAESTAB	School Name	Opening / Closing	Growing School	High Needs Unit	Total number of pre-16 high needs places in 2017-18	Number of primary (excluding nursery class) current and main registered pupils in the school occupying high needs places in 2017-18	Number of KS3 current and main registered pupils in the school occupying high needs places in 2017-18
Total						0	0	0
111111	1111111	School 1	1.00	No	No			
111112	1111112	School 2	1.00	No	No			
111113	1111113	School 3	1.00	No	No			
111114	1111114	School 4	1.00	No	No			
111115	1111115	School 5	1.00	No	No			
111116	1111116	School 6	1.00	No	No			
111117	1111117	School 7	1.00	No	No			
111118	1111118	School 8	1.00	No	No			
111119	1111119	School 9	1.00	No	No			

Figure 3: Local Factors

The blue input cells in columns O, P and Q contain default values which you will need to change if the default is not correct. The remaining blue cells are provided to you blank; please note that blank cells will be treated as zeros unless another value is entered. You therefore do not need to enter zeros.

Opening/Closing (column O)

This should be 1.00 unless the school is opening or closing, in which case you should enter the proportion of the 2019 to 2020 financial year the school will be open. For example, a school that is closing at the start of September would need to be funded from April to August, which would be five twelfths of the year. This will be displayed as a decimal rounded to two decimal places, 0.42 in this instance. Attempting to enter values greater than 1 or equal to 0 will result in an error message. The default option is 1.00. Zero is not permitted as an option here, because schools closing prior to April 2019 and

open for 0% of the year should be recorded as a closure on the [Inputs & Adjustments sheet](#), and will then not appear on the [Local Factors](#) sheet.

Growing School (column P)

Select 'Yes' or 'No' from the dropdown list to indicate whether the school has opened during the past 7 years and has not yet reached its full number of year groups. **This does not include existing schools which have just extended their age range or added a new phase. Where a school has a predecessor school the date of opening is that of the predecessor school.** The default option is 'No'. Any capping and scaling reductions specified in the formula are not applied to growing schools and estimated numbers must be used.

High Needs Unit (column Q)

Select 'Yes' or 'No' from the dropdown list to indicate whether the school has a special unit or resourced provision designated by the local authority for pupils with special educational needs (SEN) funded on the basis of places and top-up funding. Other types of unit, for example, those for pupils with medical or behavioural needs who might otherwise be in alternative provision, should not be included as they are not normally funded on the same basis. The default option is 'No' and columns R to U are greyed out.

Pupils in high needs places (columns R to U)

The total number of high needs places should be entered in column R and the number of places occupied by pupils on the roll of the school at the time of the autumn 2018 school census are required at columns S to U. This information will determine the rate of place funding ESFA will allocate to mainstream academies and free schools, and the equivalent deduction that will be made to the local authority's high needs block of the dedicated schools grant.

Places occupied by pupils on the roll of the school at the time of the school census return are funded at £6,000 per place. Places not filled by pupils on the school roll at the time of the census count are funded at £10,000. This means we need to know how many of the places within a unit are occupied by pupils on the school's roll to determine whether the place is funded at £6,000 or £10,000. **It is important that authorities fill this in accurately as we will use this information to fund academies with units.**

The school's budget share is determined on the basis of the total number of pupils on the roll of the school, including those in resourced provision and special units. The lower £6,000 funding rate for places occupied by these pupils reflects the additional per pupil funding that they attract through the schools formula. Where a place is not occupied by a

pupil who is recorded with sole or dual (main) enrolment status in the school census, the place funding rate is £10,000.

For your reference, the [18-19 HN places](#) sheet shows the latest information held by ESFA on the number of pre-16 high needs place numbers in each mainstream school in your authority. For academies and free schools, these place numbers were confirmed in January 2018 or subsequently as part of the high needs place change notification process, and used for ESFA's determination of the schools' grant. For maintained schools, these place numbers have not been collected by ESFA for funding purposes for some time, and could be out of date.

In column R you should enter the total number of places whether or not they are occupied. In columns S, T and U enter the number of primary, KS3 and KS4 high needs pupils occupying places in the unit. The numbers entered must exclude the number of pupils in those places who are not registered with sole or dual (main) enrolment at the school in 2018 to 2019. For primary places in column S, you should also exclude pupils in high needs places who are in a nursery class.

Reason for variance in places provided compared to academic 2018 to 2019 high needs places agreed with the ESFA (column V)

If the places figures you have provided in columns R to U vary from the numbers in the 18-19 HN places sheet, please select a reason for this variance from the dropdown list. If you select 'Other', 'New HN unit opening mid-year' or 'Existing HN unit closing mid-year' please provide further details in column AS. 'Other' reasons will include situations where the numbers have changed since the numbers were last collected from local authorities. If multiple reasons apply please select 'Other' and provide further details in column AP.

Split sites (column W)

This should be blank or zero unless the school has a split site (or sites) in which case, enter the actual cash you wish to allocate for split site funding. Please note that this figure should be entered as an actual value payable, which assumes that you have taken any adjustments for part-year funding into account. Please see the [Pre-16 schools funding: guidance for 2019 to 2020](#) for examples of acceptable split sites criteria, as well as possible payment methodologies.

19-20 Rates (column X)

Enter actual rates payable after any entitled relief has been applied. If left blank it will be treated as zero.

Adjustment to 18-19 Rates (column Y)

This column should only be used if you are retrospectively adjusting previous year rates amounts in 2019 to 2020. If you are adjusting in 2019 to 2020, enter the adjustment to account for any difference between previously funded 2018 to 2019 rates and now known actual rates. This may be a negative figure to reflect a previous over-estimate or a positive figure to reflect an under-estimate. Please provide a narrative in column AW for all adjustments made.

PFI (column Z)

The allocations must be based on objective criteria, capable of being replicated for any academies in the local authority area. Please note that this figure should be entered as an actual value payable, which assumes that you have taken any adjustments for part-year funding into account. If left blank it will be treated as zero. Please see the [Pre-16 schools funding: guidance for 2019 to 2020](#) for examples of acceptable methodologies.

Other Adjustment to 18-19 Budget shares (column AA)

Apart from certain circumstances specified in the regulations, school budgets cannot be re-determined in year. Any corrections relating to 2018 to 2019 will therefore have to be made in the 2019 to 2020 budget calculation, although, since they relate to the previous funding period, they should be excluded from the MFG calculation for 2019 to 2020. Enter here any necessary adjustment to account for any difference between previously submitted 2018 to 2019 Budget shares and now known actual values. (This could be calculated by using last year's APT and re-running updated figures for the school through this and then calculating the difference between this result and the SBS actually paid. The 2018 to 2019 baseline in the current 2019 to 2020 APT will also be amended to reflect these changes). This may be a negative figure to reflect a previous over-estimate or a positive figure to reflect an under-estimate. If left blank it will be treated as zero. Please ensure you provide a narrative in column AW for all adjustments made. This will be added to the total allocation in the New ISB sheet.

19-20 Approved Exceptional Circumstances 1-7 (columns AB to AH)

Enter any approved exceptional circumstances you wish to apply. Please note that these must have been pre-approved by ESFA. This figure should be entered as an actual value payable which assumes that you have taken any adjustments for part-year funding into account. If left blank they will be treated as zero. Please see the [Pre-16 schools funding: guidance for 2019 to 2020](#) for further information.

Please enter a brief description for each exceptional factor you apply in the light blue input cells above the column titles; these will then automatically appear in the [Proforma sheet](#) and the [School Level SB](#) sheet.

Additional lump sum for amalgamating schools (column AB)

Please note that column AB is reserved for adjustments for any additional lump sum for schools which amalgamated during financial year 2018 to 2019 (including schools that amalgamate on 1 April 2018). Where schools amalgamated during this period, the resultant school can retain the equivalent of 85% of the aggregate lump sums that all of the predecessor schools would be allocated during financial year 2019 to 2020, the year after they merged. Please enter here the additional lump sum that schools amalgamated during the 2018 to 2019 financial year are entitled to. Please note that you must apply to ESFA to specify an alternative (lower) lump sum to an amalgamated school in exceptional circumstances; you do not need ESFA approval to give the school the equivalent of 85% of the aggregate lump sums.

Additional lump sum for sparse schools (column AC)

For very small, sparse secondary schools (those with less than 350 pupils on roll in total, a sparsity distance of 5 miles or more, and with pupils in years 10 or 11 present), the local authority will be able to make an application to ESFA for an exceptional, additional sparsity sum of up to £50,000, in addition to the funding received through the factor. Column AC is reserved for the local authority to enter any such additional sparsity funding amounts approved by ESFA. Column AC should be left blank if you are not using the sparsity factor in your formula.

For further information on the minimum per-pupil amount please see the [Pre-16 schools funding: guidance for 2019 to 2020](#).

Total of additional premises costs to exclude from minimum per pupil funding calculation (column AI)

If you are using the minimum per pupil funding factor and have entered premises costs in any of the approved exceptional circumstances 3 to 7 (columns AD to AH) which you wish to exclude from the calculation you should enter the total for each school in this column. Please ensure you provide a brief narrative in column AS and a detailed summary identifying the amounts excluded on the Commentary sheet.

Please note you should not enter any adjustment here to exclude rates, PFI or split sites costs from the calculation.

19-20 Approved Exceptional Circumstances 3 to 7: total of entries not relating to premises costs (column AJ)

You should enter here the total of any entries in exceptional circumstances 3 to 7 (columns AD to AH) which relate to premises costs. This is required as part of the funding floor calculation to ensure that all premises costs are removed from the allocation compared to the baseline figure. The data is also required to ensure correct identification of premises costs in any future modelling carried out.

19-20 Approved MFG Exemptions 1-5 (columns AK to AO)

Please include only those additional excluded items as applied for and approved in writing by ESFA. Please note that these are new approvals only. Any approvals received for 2018 to 2019 were for that year only. Positive values will be subtracted from the SBS for the MFG calculation. If left blank they will be treated as zero.

Approved MFG exemption 1 (column AK) is reserved for removing mobility funding from the MFG calculation for those LAs wishing to mirror the NFF and who have received approval.

19-20 Technical adjustments 1-4 (columns AP to AS)

These can be either positive or negative values. The figures will be subtracted from the SBS for the MFG calculation; therefore, for a positive adjustment, please enter as a negative value. If left blank they will be treated as zero. Please note that column AN is reserved for new delegation adjustments and only positive figures are permitted. For further information on new delegation please see the [Pre-16 schools funding: guidance for 2019 to 2020](#). Column AT will be prepopulated with an adjustment to the 2019 to 2020 MFG equal to the adjustment to the 2018 to 2019 budget share entered in column AA. Technical adjustment 2 (column AQ) has been reserved for removing premises costs from the MFG for those LAs wishing to mirror the NFF. This can include split sites and PFI funding as well as any premises costs entered in the approved exceptional circumstances columns.

19-20 Total Approved MFG Exemptions and technical adjustments for use in funding floor calculation (column AU)

The total 2019 to 2020 approved MFG exemptions and technical adjustments to be used in the funding floor calculation are calculated in column AR, by summing all the input values in columns AL to AP and AR to AT. The columns not included relate to the removal of mobility funding and premises costs which are already excluded from the funding floor calculation.

19-20 Total Approved MFG Exemptions and technical adjustments for use in MFG calculation (column AV)

The total 2019 to 2020 approved MFG exemptions and technical adjustments to be used in the MFG calculation are calculated in column AR, by summing all the input values in columns AK to AT.

Comments (column AW)

Please provide a narrative if you have recorded any adjustments in columns Y or AA. Please note that if you fail to provide a narrative you will get a 'Fail' indication in the [Validation sheet](#). Please also provide a narrative if you have selected 'Other', 'New HN unit opening mid-year' or 'Existing HN unit closing mid-year' in column V.

Please ensure you provide details of the methodology used for the calculation of the split sites, the PFI and the exceptional circumstances factors as well as the MFG exclusions and adjustments in the relevant sections of the [Commentary sheet](#). Please note that if you fail to provide a narrative you will get a 'Fail' indication in the [Validation sheet](#).

Adjusted Factors sheet

This sheet calculates the adjusted pupil numbers to be used in the final school budgets calculations in the [New ISB sheet](#), drawing data from the [Schools Block Data](#), [Inputs & Adjustments](#) and the [Local Factors](#) sheets.

The sheet is firstly populated by the same list of schools as in the [Local Factors](#) sheet and it then calculates the adjusted NOR and pupil numbers for all factors by multiplying the proportion of the year the school will be open for by the relevant figure from either the [Schools Block Data](#) or the [Inputs & Adjustments](#) sheets. The high needs places indicated in the [Local Factors](#) sheet are also subtracted from the adjusted numbers and the reception uplift is added if the relevant option has been selected in the [Proforma sheet](#) sheet.

Please note that the sheet is entirely populated using spreadsheet formulae. These cannot be deleted or edited. However, the user can click on any cell to view the formula used.

17-18 FF final baselines sheet

In this sheet you are required to provide any additional 2017 to 2018 baseline for use in the funding floor calculation. You can also use this sheet to amend any prepopulated baseline flagged as theoretical.

URN	LAESTAB	School Name	17-18 NFF funding floor per pupil baseline	Theoretical baseline	New and growing: 'if full' funding floor baseline used	Adjusted 17-18 NFF funding floor per pupil baseline
Average per pupil rate: Primary		4,753.03				
Average per pupil rate: Secondary		6,629.73				
Total			134,750			55,920
111135	1111135	School 35	3,750.00	N	N	
111136	1111136	School 36	17-18 baseline missing		N	4,250.00
111137	1111137	School 37	4,500.00	Y	N	4,550.00
111138	1111138	School 38	4,590.00	N	N	
111139	1111139	School 39	5,110.00	N	N	5,020.00
111140	1111140	School 40	4,100.00	N	N	
111141	1111141	School 41	3,750.00	N	N	
111142	1111142	School 42	Please fill in columns L and M		N	4,100.00
111143	1111143	School 43	Please fill in columns L and M		N	4,200.00
111144	1111144	School 44	4,900.00	N	N	
111145	1111145	School 45	Please fill in columns L and M		N	4,600.00

Figure 4: FF final baselines

Pre-populated items

Cells H1 and H2 are populated with the local authority primary and secondary average per pupil funding used in creating the theoretical baselines as described in [Annex B](#). These rates should be used to calculate theoretical baselines for any new, merged or split schools if you are using the same approach.

The 2017 to 2018 FF per pupil baseline in column J is populated automatically from the [17-18 funding floor baselines](#) sheet. These per pupil rates are either taken from the 2017 to 2018 NFF baselines or have been derived from those baselines (see [Annex B](#) for details of how these theoretical baselines have been created).

Manual Inputs

There are a few instances where you are required to input this data manually in column M. These are outlined below:

- If in column J, instead of a figure you get the following text: '17-18 baseline missing' (please see figure 4). This could be either because the LAEstab of the school in question in the Schools Block Data sheet does not match its LAEstab in

the 17-18 funding floor baselines, or simply because the baseline is not included in the 17-18 funding floor baselines. In both these cases please input the per pupil baseline figure manually in column M. For some schools this can be manually copied from the 17-18 funding floor baselines. However you may need to calculate new per pupil baselines for some schools.

- If in column J, instead of a figure you get the following text: 'Please fill in columns M and N' (please see figure 4). Once the Inputs and Adjustments sheet has been completed this message will apply to new schools, newly amalgamated schools and academies with more than one predecessor. In this case you are required to calculate the baseline for the school in question and input it manually in column M.

Details of how the theoretical 2017 to 2018 baselines were calculated can be found in [Annex B](#) and this approach can be replicated to create baselines for any schools in the two categories above or to amend any theoretical baseline. Alternatively where this would not create a representative baseline you can calculate an alternative per pupil value. This value must not include one-off funding, lump sum and sparsity amounts, premises and mobility.

Where an alternative baseline amount is entered a brief explanation should be entered in column N and a copy of supporting calculations should be added to row 29 on the Commentary sheet.

18-19 final baselines sheet

In this sheet you are required to provide 2018 to 2019 schools' baseline information, where this data is missing from the [18-19 submitted baselines](#) sheet, as well as the 2018 to 2019 MFG exclusions and adjustments to be used for the MFG calculations in the [New ISB tab](#). The school list in columns G, H and I is populated automatically based on the information previously provided in the [Inputs & Adjustments](#) sheet.

URN	LAESTAB	School Name	18-19 MFG NOR	18-19 Rates	18-19 Post MFG Budget	18-19 Opening / Closing	Additional lump sum for schools amalgamated during FY17-18	Adjusted 18-19 MFG NOR	Adjusted 18-19 Rates	Adjustment to 18-19 Post MFG Budget
Total			5	£0	£16,000		£0	900	£0	£2,700,000
1111111	1111111	School 1	18-19 baseline missing					100.00	£0.00	£300,000.00
1111112	1111112	School 2	18-19 baseline missing					100.00	£0.00	£300,000.00
1111113	1111113	School 3	18-19 baseline missing					100.00	£0.00	£300,000.00
1111114	1111114	School 4	18-19 baseline missing					100.00	£0.00	£300,000.00
1111115	1111115	School 5	18-19 baseline missing					100.00	£0.00	£300,000.00
1111116	1111116	School 6	1.00	£0.00	£3,200.00	1.00	£0.00			
1111117	1111117	School 7	1.00	£0.00	£3,200.00	1.00	£0.00			
1111118	1111118	School 8	1.00	£0.00	£3,200.00	1.00	£0.00			
1111119	1111119	School 9	1.00	£0.00	£3,200.00	1.00	£0.00			
1111120	1111120	School 10	1.00	£0.00	£3,200.00	1.00	£0.00	100.00	£0.00	£300,000.00
1111121	1111121	School 11	Please fill in columns O:U					100.00	£0.00	£300,000.00

Figure 5: final baselines

Pre-populated items

The 2018 to 2019 baseline information in columns J to N is populated automatically from the [18-19 submitted baselines](#) sheet, with the relevant data as submitted by local authorities to ESFA. In particular, these columns include:

- 18-19 MFG NOR (column J): This is the 2018 to 2019 NOR excluding the Reception Uplift (if applicable) adjusted for the proportion of the year the school was open for
- 18-19 Rates (column K): the 2018 to 2019 rates as submitted in the 2018 to 2019 New ISB tab
- 18-19 Post-MFG Budget (column L): The school's post-MFG budget as submitted in the 2018 to 2019 New ISB tab
- 18-19 Opening/Closing (column M): The proportion of funding year 2018 to 2019 the school was open for, as submitted in the 2018 to 2019 Adjusted Factors sheet
- Additional lump sum for schools amalgamated during the financial year 2017 to 2018 (column N): the additional lump sum given in 2018 to 2019 for schools that amalgamated during 2017 to 2018

Manual Inputs

There are a few instances where you are required to input this data manually in columns O to Q, T and U. These are outlined below:

- If in column J, instead of a figure you get the following text: ‘18-19 baseline missing’ (please see figure 5). This could be either because the LAEstab of the school in question in the Schools Block Data sheet does not match its LAEstab in the 18-19 submitted baselines, or simply because the baseline is not included in the 18-19 submitted baselines. In both these cases please input the baseline figures manually in columns O to Q, T and U
- If in column J, instead of a figure you get the following text: ‘Please fill in columns O:U’ (please see figure 5). Once the Inputs and Adjustments sheet has been completed this message will apply to newly amalgamated schools and academies with more than one predecessor. In this case you are required to calculate the baseline for the school in question and input it manually in columns O to Q, T and U. The baseline should be reached by calculating what the school would have received in 2018 to 2019 if it had been open in its new state (that is, only one lump sum)
- If there has been a change in your baseline figures, please input the correct figures in columns O to Q, T and U. Please ensure you provide a narrative explaining the reason for this change in the Comments column (column V)

If in column J, instead of a figure you get the following text: ‘Predecessor LAEstab missing’ (see figure 6) this means that a record of a school that has converted to an academy status before 7 January 2019 has been made in the [Inputs & Adjustments](#) sheet, but the predecessor LAEstab has not been provided in column B. Please make sure you fill in the correct predecessor LAEstab (even if it hasn’t changed post-conversion) and the baseline figures should be automatically populated in columns J to N of the [18-19 final baselines](#) sheet.

URN	LAESTAB	School Name	18-19 MFG NOR	18-19 Rates	17-18 NFF funding floor baseline	18-19 Opening / Closing	Additional lump sum for schools amalgamated during FY17-18
Total			5	£0	£16,000		£5
111111	1111111	School 1	17-18 baseline missing				
111112	1111112	School 2	17-18 baseline missing				
111113	1111113	School 3	17-18 baseline missing				
111114	1111114	School 4	17-18 baseline missing				
111115	1111115	School 5	17-18 baseline missing				
111116	1111116	School 6	1.00	£0.00	£3,200.00	1.00	£1.00
111117	1111117	School 7	1.00	£0.00	£3,200.00	1.00	£1.00
111118	1111118	School 8	1.00	£0.00	£3,200.00	1.00	£1.00
111119	1111119	School 9	1.00	£0.00	£3,200.00	1.00	£1.00
111120	1111120	School 10	1.00	£0.00	£3,200.00	1.00	£1.00
111121	1111121	School 11	Predecessor LAEstab missing				

Figure 6: final baselines

You are required to fill in the following information:

- 18-19 Approved MFG Exemptions 1-4 (columns W, X, Y and Z): please include only those additional excluded items as applied for and approved in writing by ESFA. Please note that these are new approvals and are different from those that were approved last year. Positive values will be subtracted from the SBS for the MFG calculation. Column W has been reserved for adjustments relating to infrastructure changes.
- 18-19 Technical adjustments 1-3 (column AA, AB and AC): these can be either positive or negative values. The figures will be subtracted from the SBS for the MFG calculation and therefore for a positive adjustment, please enter as a negative value (for further information about technical adjustments please refer to the operational guide). Column AA has been reserved for removing LAC funding from the MFG SBS total where the LAC factor was used in the 2018 to 2019 funding formula but is not being used in the current year.

If you have made adjustments to rates budgets during 2018 to 2019 then the adjusted rates amount may be entered in column P. This should only relate to maintained schools as any adjustment to academy rates bills that have occurred in 2018 to 2019 will have to be amended in 2019 to 2020 on the [Local Factors](#) sheet.

If you have entered adjusted rates in column P, the difference between the original values in column K and the adjusted values should be included in the adjustment to 2018 to 2019 Post MFG Budget in column S.

Column AD shows the deductions to be made to the MFG baseline for lump sum and sparsity funding. For sparsity, the 2019 to 2020 funding amount is deducted from the 2018 to 2019 baseline. For the lump sum, the deduction from the MFG baseline is the basic 2019 to 2020 lump sum received by the school, plus any additional lump sum funding received in 2018 to 2019 due to an amalgamation in the previous year.

If in doubt please hover your mouse over the column headers, to get specific details of the data that each column should contain.

Please ensure you provide sufficient details of the MFG exclusions and adjustments, preferably formulaically, in the relevant sections of the [Commentary](#) sheet. Please note that if you fail to provide a narrative you will get a 'Fail' indication in the [Validation sheet](#).

Lastly, the 2018 to 2019 MFG SBS and the 2018 to 2019 MFG SBS per pupil to be used in the MFG calculations in the [New ISB](#) sheet are calculated in columns AF and AG.

Commentary sheet

If you have used any of the factors listed below in any other sheet of the tool or if you are applying any of these funding elements outside the APT, please provide full details of the methodology used and where appropriate use examples. You may embed documents if it is helpful and column F has been added to the sheet for this purpose.

Where an explanation is provided please specify if it relates to maintained schools, academies or both.

- 18-19 Approved MFG Exclusions and technical Adjustments: an example would be a school ceasing to be eligible for split sites factor so that their split sites funding for 2018 to 2019 is excluded from the baseline. Please see the [Pre-16 schools funding: guidance for 2019 to 2020](#) for further details
- 19-20 Approved Exceptional Funding, such as rents or joint use: please see the [Pre-16 schools funding: guidance for 2019 to 2020](#) for further details
- 19-20 Approved MFG Exclusions and technical Adjustments: an example would be central funding for PFI costs being delegated for the first time in 2019 to 2020, so the PFI factor is excluded from MFG to ensure the schools receive the benefit of the additional delegation. Please see the [Pre-16 schools funding: guidance for 2019 to 2020](#) for further details
- Growth funding: please see the [Pre-16 schools funding: guidance for 2019 to 2020](#) for examples of acceptable methodologies. Please note that you will get a 'Fail' in the Validation sheet if no commentary is provided for this factor. When detailing methodologies please be clear that these apply to both maintained schools and academies. If your growth fund is £0, please enter 'N/A'
- Additional funding from the high needs budget: describe here the formula or criteria you have developed and agreed with schools to distribute any additional funding from the high needs budget, outside the main funding formula for mainstream schools and academies. This should not include any top-up funding in respect of individual pupils with high needs, nor any place-led funding for special units or resourced provision. Please see the High needs funding: operational guide 2018 to 2019 for further details. Please note that you will get a 'Fail' in the Validation sheet if no commentary is provided for this factor. If you have no additional funding from the high needs budget, please enter 'N/A'
- Falling rolls fund: local authorities may top slice the DSG in order to create a small fund to support good or outstanding schools with falling rolls where local planning data show that the surplus places will be needed in the near future. Please see the [Pre-16 schools funding:](#)

[guidance for 2019 to 2020](#) for further details. Please note that you will get a 'Fail' in the Validation sheet if no commentary is provided for this factor. When detailing methodologies please be clear that these apply to both maintained schools and academies. If your falling rolls fund is £0, please enter 'N/A'

- Split sites: please see the [Pre-16 schools funding: guidance for 2019 to 2020](#) for examples of acceptable split sites criteria, as well as possible payment methodologies
- PFI funding: please see the [Pre-16 schools funding: guidance for 2019 to 2020](#) for examples of acceptable methodologies
- Details of funding for schools block formula from outside the 2019 to 2020 schools block: please enter details of any funding from outside the 2019 to 2020 Schools Block which is included in the total funding for schools block formula calculated in cell J89 of the Proforma sheet
- Where the schools block has been supplemented, either by funding from outside the DSG (for example from general council funding), or by one-off funding from DSG reserves, please indicate how this has been applied at school level (such as, £20 per primary pupil or the amounts specified in the PFI factor) if this is not already shown as part of an approved exclusion from the MFG
- Criteria for new basic needs school: please set out the criteria used for distributing start-up and diseconomy costs to new basic need schools
- General supporting comments and other relevant information: please provide any information that you think might be relevant to the calculation of 2019 to 2020 budgets which you have not been able to include anywhere else, or any further information to clarify or support your data
- Explanation of how to convert the pupil count to an academic year basis where a change in pupil numbers has been recorded: please provide details of any adjustments made. This can be enclosed as an attachment

Please note that if the sum of one or more factors or exclusions included in this sheet is different from nil and you have provided no commentary, you will get a 'Fail' indication in the [Validation](#) sheet.

Column F should be used to add attachments if required. Attachments can be added by selecting the Insert option at the top left of the screen and selecting 'Object'. Select the 'Create from File' tab in the dialogue box and use browse to select the file you wish to attach. Before clicking on 'OK' button please tick the 'Display' as icon box.

Column G should be used to flag any entries which relate to one-off funding.

Proforma sheet

The Proforma sheet is designed for you to enter the high-level unit values for your funding allocation.

Please fill in all the required information in the light blue cells. As with all the other sheets of the tool the purple cells are calculation cells and cannot be edited. The relevant pupil units for all the pupil-led factors are populated automatically in columns G and H from the [Adjusted Factors](#) sheet. Once you enter the relevant amounts per-pupil the sub-total and total funding as well as the proportion of total funding are calculated in the columns I, J and K respectively. Leave all the light blue cells blank for any optional factor which you do not wish to use in your formula.

In columns L and M, you must indicate, for each factor, the percentage of funding through that factor which contributes to making up each school's notional SEN budget. The total notional SEN budget per school will then automatically be calculated in the [New ISB](#) sheet.

Please read the following sections for detailed step-by-step instructions of how to complete the Proforma sheet.

DSG comparison

Total DSG schools block allocation	
Total Funding For Schools Block Formula as a percentage of DSG schools block allocation	
Total funding allocated to schools as a percentage of DSG schools block allocation	
Total funding allocated to growth and falling rolls as a percentage of DSG schools block allocation	

Figure 7: DSG comparison

Cell L5 of the Proforma allows you to enter your DSG SB allocation for 2019 to 2020 in order to compare the funding allocated through your formula against the DSG allocation. The allocation will not be prepopulated as the APT is issued before the allocations are finalised. Cells L6 to L8 will then calculate the percentage of DSG schools block funding allocated, and a split of percentage of funding allocated to schools and to growth and falling rolls funding. If you have transferred any funding out of the DSG schools block or if you have not allocated 100% of your funding through your schools block formula you must enter the details of where the additional funding will be allocated on row 51 of the Commentary worksheet, including copies of school forum minutes where applicable. This information will help to inform national funding policy development.

Minimum level of per pupil funding

Local authorities can choose to include the minimum per pupil factor in their formula. The per pupil minimum funding levels are set out below. Local authorities' funding allocations will reflect the 2019 to 2020 minimum amounts set out in the table below, but LAs may choose to set lower amounts if they choose to use the factor.

School phase	2019-20 minimum per pupil funding level
Primary school	£3,500
All-through school	A weighted average of the primary and secondary minimum per pupil funding levels that applies to every all-through school. The calculation is: $(£3,500 \times 7) + (£4,800 \times 5)$ divided by 12
Secondary school (with KS3 and KS4 pupils)	£4800
KS3 only schools	£4600
KS4 only schools	£5100
Middle schools or secondary schools with exclusively KS3/KS4 secondary cohorts	Minimum per pupil funding level depends on the year groups in each school. If the school does not have a KS4 Number on Roll then the calculation is: $(£3,500 \times \text{number of primary year groups}) + (£4,600 \times \text{number of KS3 year groups})$ divided by total number of primary and KS3 year groups If the school has KS3 and KS4 Number on Roll then the calculation is: $(£3,500 \times \text{number of primary year groups}) + (£4,800 \times \text{number of secondary year groups})$ divided by total number of year groups If the school does not have a KS3 Number on Roll then the calculation is: $(£3,500 \times \text{number of primary year groups}) + (£5100 \times \text{number of secondary KS4 year groups})$ divided by total number of primary and KS4 year groups

Table 3: Minimum per pupil funding levels

If you are using the minimum per pupil funding factor you should enter the rates you are applying to each of the cells D13, E13, G13 and I13.

When calculating the level of funding you can choose to exclude some or all premises factors. You can also choose to exclude mobility funding if you have had a disapplication accepted. You should use cells E11 to H11 to select which factors to exclude (this is in addition to any premises costs entered in column AI of the Local Factors sheet). The default position is to include all premises costs and mobility funding in the calculation of the total funding received by each school.

Premises costs to exclude from allocation when calculating the minimum funding level	Mobility	Rates	PFI	Split Sites	
	No	Yes	Yes	No	
Primary minimum per pupil funding level	Secondary (KS3 only) minimum per pupil funding level		Secondary (KS4 only) minimum per pupil funding level	Secondary (KS3 and KS4) minimum per pupil funding level	
£3,500.00	£4,600.00		£5,100.00	£4,800.00	

Figure 8: Proforma sheet: minimum per pupil funding amount

Where the factor is used no school will have their allocation reduced below the minimum per pupil as a result of capping and scaling.

Basic Entitlement

1) Basic Entitlement Age Weighted Pupil Unit (AWPU)	Reception uplift	Yes	Pupil Units	90.00		
	Description	Amount per pupil	Pupil Units	Sub Total	Total	P
	Primary (Years R-6)		49,323.30	£0	£0	
	Key Stage 3 (Years 7-9)		17,232.70	£0		
	Key Stage 4 (Years 10-11)		9,884.00	£0		

Figure 9: Proforma sheet: basic entitlement

Cells in light blue require user input:

- Reception uplift (cell E16): Please indicate whether reception uplift applies by selecting 'Yes' or 'No' from the dropdown list. If you have selected 'Yes' the relevant pupil units cell will be populated from the Adjusted Factors sheet
- Amount per pupil (cells E18 to E20): Enter an amount per pupil for primary (including reception uplift), key stage 3 and key stage 4 in the designated cells. Please note that these figures must be greater than or equal to £2,000 for primary and greater than or equal to £3,000 for KS3 and KS4. If you don't have secondary pupils in your local authority, please leave the KS3 and KS4 amount per pupil blank.
- Notional SEN (cells L18 to L20): Lastly please indicate for each phase the proportion of the basic entitlement funding that is relevant to the notional SEN budget. Enter a percentage between 0% and 100% inclusive. Figures outside of this range are not permitted

Deprivation

	Description	Primary amount per pupil	Secondary amount per pupil	Eligible proportion of primary NOR	Eligible proportion of secondary NOR	Sub Total	Total	Proportion of total pre MFG funding (%)	Primary Notional SEN (%)	Secondary Notional SEN (%)
2) Deprivation	FSM			0.00	0.00	£0	£0	0.00%		
	FSM6			0.00	0.00	£0				
	IDACI Band F			0.00	0.00	£0				
	IDACI Band E			0.00	0.00	£0				
	IDACI Band D			0.00	0.00	£0				
	IDACI Band C			0.00	0.00	£0				
	IDACI Band B			0.00	0.00	£0				
	IDACI Band A			0.00	0.00	£0				

Figure 10: Proforma sheet: deprivation

- Free School Meals (cells E22 and F22): If you are using the FSM indicator enter an amount per pupil for primary and secondary in the cells E22 and F22
- Free School Meals Ever 6 (cells E23 and F23): If you are using the FSM ever 6 indicator enter an amount per pupil for primary and secondary in the cells E23 to F23
- IDACI (cells E24 to F29): Enter an amount per pupil for primary and secondary in the designated cells for the factors you select to include in your formula. Negative figures are not permitted
- Please note that all 3 deprivation indicators can be used. You must select at least one deprivation indicator in your formula. If you do not do so it will be flagged up as a 'Fail' in the Validation sheet
- Notional SEN (cells L22 to M29): Lastly please indicate for each phase the proportion of the deprivation funding that is relevant to the notional SEN budget. Enter a percentage between 0% and 100% inclusive. Negative figures are not permitted

Looked After Children, English as an Additional Language and Mobility

	Description	Primary amount per pupil	Secondary amount per pupil	Eligible proportion of primary NOR	Eligible proportion of secondary NOR	Sub Total	Total	Proportion of total pre MFG funding (%)	Primary Notional SEN (%)	Secondary Notional SEN (%)
3) Looked After Children (LAC)	LAC X March 17			0.00		£0	£0	0.00%		
4) English as an Additional Language (EAL)	N/A					£0		0.00%		
	N/A					£0				
5) Mobility	Pupils starting school outside of normal entry dates			0.00	0.00	£0		0.00%		

Figure 10: Proforma sheet: deprivation

- EAL (cells D32 and D33) - Please select a primary and secondary EAL indicator from the drop-down list. If you are not using the factor please select 'N/A'
- Looked after children (cell E31): Enter an amount per pupil if you are using the factor. Negative figures are not permitted
- EAL and Mobility (cells E32 to F34): Enter an amount per pupil for primary and secondary in the designated cells for the factors you select to include in your formula. Negative figures are not permitted
- Notional SEN (cells L31 to M34): Lastly please indicate the proportion of the funding that is relevant to the notional SEN budget. Enter a percentage between 0% and 100% inclusive. Negative figures are not permitted

Prior attainment

Description	Weighting	Amount per pupil	Percentage of eligible pupils	Eligible proportion of primary and secondary NOR respectively	Sub Total	Total
Primary Low Attainment				0.00	£0	£0
Secondary low attainment (year 7)	63.59%			0.00	£0	
Secondary low attainment (year 8)	58.05%					
Secondary low attainment (year 9)	48.02%					
Secondary low attainment (years 10 to 11)						

Figure 11: Proforma sheet: prior attainment

The APT no longer includes a primary weighting factor as in the 2019 to 2020 schools block data all primary pupils have been assessed under the new EFSP.

The secondary low attainment also includes a weighting as a result of the new KS2 testing introduced in 2016. For secondary low attainment there are 3 weighting factors, 1 for year 7, a second for year 8 and a third for year 9. The weightings are set nationally and cannot be adjusted. Year 7 is based on the latest KS2 results.

Secondary low attainment (year 7)	63.59%	£500.00	25.28%
Secondary low attainment (year 8)	58.05%		22.71%
Secondary low attainment (year 9)	48.02%		23.27%
Secondary low attainment (years 10 to 11)			24.02%

Figure 14: Proforma sheet: weighted primary low attainment

- Amount per pupil (cells F36 and F37) - Enter an amount per pupil for primary and secondary in the designated cells. Negative figures are not permitted.
- Notional SEN (cells L36 and M37) - Indicate the proportion of the prior attainment funding that is relevant to the notional SEN budget for each phase. Enter a percentage between 0% and 100% inclusive. Negative figures are not permitted.

Total pupil-led funding

The total pupil-led funding must be at least 80% of the total pre MFG funding shown in cell J73. The proportion of the pupil-led funding is automatically calculated for you in cell J93. If the 80% minimum threshold criterion is not met the proportion will be highlighted in red and it will be flagged up as a 'Fail' in the [Validation](#) sheet.

Lump sum

Factor	Lump Sum per Primary School (£)	Lump Sum per Secondary School (£)	Lump Sum per Middle School (£)	Lump Sum per All-through School (£)	Total (£)	Proportion of total pre MFG funding (%)	Notional SEN (%)
7) Lump Sum					£0	0.00%	
8) Sparsity factor					£0	0.00%	
Please provide alternative distance and pupil number thresholds for the sparsity factor below. Please leave blank if you want to use the default thresholds. Also specify whether you want to use a tapered lump sum for one or both of the phases.							
Primary distance threshold (miles)		Primary pupil number average year group threshold		Fixed or tapered sparsity primary lump sum?	Fixed		
Secondary distance threshold (miles)		Secondary pupil number average year group threshold		Fixed or tapered sparsity secondary lump sum?	Fixed		
Middle schools distance threshold (miles)		Middle school pupil number average year group threshold		Fixed or tapered sparsity middle school lump sum?	Fixed		
All-through schools distance threshold (miles)		All-through pupil number average year group threshold		Fixed or tapered sparsity all-through lump sum?	Fixed		

Figure 15: Proforma sheets: lump sums

Lump Sum (cells F46 and G46) - Enter the lump sum to be paid per primary school and per secondary school. The fixed lump sum per school should not exceed £175,000, including the fringe payment. Please note that middle and all-through schools cannot be allocated different lump sums, hence the greyed out cells here. All-through schools receive the secondary lump sum amount, while middle schools receive a lump sum which is a weighted average of the primary and secondary amount based on the number of year groups in each phase present.

Sparsity

Local authorities are able to specify separate eligibility thresholds for middle schools and all-through schools. The size thresholds for sparsity funding are based on the average number of pupils per year group at the school.

- Sparsity Lump Sum (cells F47 to I47) - Enter the sparsity lump sums per primary school, per secondary school, per middle school and per all-

through school. This value in each case should not exceed £100,000 including the fringe payment.

- Distance Threshold (cells D49 to D52) - Enter the primary, secondary, middle-deemed and all-through average distance-to-second-school thresholds you wish to use. These must be a minimum of 2 (miles) for primary, middle and all-through schools and 3 for secondary schools. If you leave these input cells blank the APT will assume you wish to use the minimum threshold values. However, we do advise you to please actively enter the thresholds you wish to use here for the avoidance of confusion.
- Average Year Group Threshold (cells G49 to G52) - Enter the maximum average number of schools block funded pupils per year group that a school must have to be eligible to attract funding under your sparsity factor. These must be a maximum of 21.4 (pupils per year group on average) for primary schools, 120 for secondary schools, 69.2 for middle schools and 62.5 for all-through schools. If you leave these input cells blank the APT will assume you wish to use the maximum threshold values. However please enter the thresholds you wish to use here for the avoidance of confusion. The average for a school is calculated by dividing the total number of year R to 11 pupils on roll (inclusive of any changes to pupil numbers recorded on the Inputs & Adjustments sheet and exclusive of High Needs places entered in Local Factors sheet) divided by the number of primary and secondary year groups (again inclusive of any adjustment recorded).
- Fixed, Tapered or NFF Lump Sum (cells K49 to K52) - Please select from the drop-down lists whether you want each of the primary, secondary, middle and all-through sparsity lump sums to be tapered (meaning that a school will receive a proportion of the specified lump sum amount, depending on how far below the average year group size threshold it is), or fixed (meaning all schools meeting the specified sparsity criteria get the fixed amount entered at 3 above, irrespective of the number of pupils on roll). For 2019 to 2020 the APT will again allow local authorities to use the same methodology as set out in the national funding formula technical note.

For more information on the sparsity factor please see the [Pre-16 schools funding: guidance for 2019 to 2020](#)

Other factors

9) Fringe Payments	£0	0.00%	
10) Split Sites	£90,000	0.02%	
11) Rates	£3,441,463	0.82%	
12) PFI funding	£322,000	0.08%	
13) Exceptional circumstances (can only be used with prior agreement of ESFA)			
Circumstance	Total (£)	Proportion of total pre MFG funding (%)	Notional SEN (%)
Additional lump sum for schools amalgamated during FY18-19	£0	0.00%	1.00% 0.00%
Additional sparsity lump sum for small schools	£0	0.00%	
Exceptional Circumstance3	£0	0.00%	
Exceptional Circumstance4	£148,343	0.04%	
Exceptional Circumstance5	£316,240	0.08%	
Exceptional Circumstance6	£0	0.00%	
Exceptional Circumstance7	£0	0.00%	

Figure 16: Proforma sheet: other factors

All remaining factors will be populated automatically based on the information you have provided in the [Local Factors sheet](#) sheet, including the descriptions of the exceptional factors. Please ensure you fill in the notional SEN budget percentages for all factors if applicable.

Funding floor

If you are including the new funding floor protection of 1% against the 2017 to 2018 NFF baselines in 2019 to 2020 cell H72 should be changed to yes. This will originally be set to No and the calculations on the New ISB sheet will be disabled.

If this factor is used then any capping and scaling applied in your formula will not reduce a schools allocation below this level.

Minimum funding guarantee (MFG); capping and scaling

16) Minimum Funding Guarantee	-1.50%	£0
Apply capping and scaling factors? (gains may be capped above a specific ceiling and/or scaled)		Yes
Apply alternative gains cap for schools gaining more than 15%?		No
Capping Factor (%)	0.00%	Scaling Factor (%)
		100.00%

Figure 17: Proforma sheet: MFG capping and scaling

Minimum Funding Guarantee (cell H75) – Please enter a value between 0.5% and minus 1.5%. The APT will be prepopulated with the default value of minus 1.5%. This value represents the amount by which a schools budget can change from 2018 to 2019 (a negative value represents a decrease).

Apply capping and scaling factors (cell J76) - Please select from the drop-down list whether you wish to apply capping and scaling factors. If you select 'No', the relevant area will be greyed-out and you will not be required to input any further information. Any figure you enter in the greyed-out cells will be ignored in the calculation cells.

Apply alternative gains cap for schools gaining more than 15% (cell J77) – Please select Yes from the drop-down list if you wish to include the limit on the amount of gains capped for those schools with gains exceeding 15%.

Capping Factor (cell D78) - If you have selected 'Yes' in step 1 please enter a capping factor. Schools with gains will keep all gains below the capping factor (so, for example, a capping factor of 5% means schools will keep the first 5% of gains on a per pupil basis). Please note that where a positive MFG value is entered in cell H75 the cap will start from that point (so if you are trying to model the 3% gains cap your MFG will be set at 0.5% and the cap will need to be set at 2.5%). For 2019 to 2020 the minimum value of the capping factor is again 0%, so no negative percentages cannot be entered.

Scaling Factor (cell G78) - Please provide a scaling factor. The scaling factor indicates by how much any gains above the capping factor will be scaled back. A scaling factor of 100% scales back all gains on a per pupil basis above the capping factor. A scaling factor of 50% scales back half of gains above the capping factor. A scaling factor of 0% allows schools to retain all gains and therefore in effect applies no capping factor; a warning message will appear on the Proforma sheet if you select 'Yes' in step 1 but are specifying a 0% scaling factor (either by entering a value of zero or leaving **cell G78** blank). The scaling factor must be between 0% and 100% inclusive. Values outside this range cannot be entered.

The following illustrate what different choices of capping and scaling factors would mean:

- A 2% cap and 50% scaling would mean that all per pupil gains flow through to schools up to 2%, and any gains above 2% are scaled back by 50%.
- A 4% cap and 100% scaling would mean that all gains above 4% are scaled back.
- A 0% cap and 80% scaling would mean that all gains are scaled back by 80%.
- A 0% cap and 0% scaling means schools retain all gains.

Please note: if you select 'Yes' in Step 1 but leave the capping and scaling cells blank, then the APT will treat those blanks as zeroes, so will apply a 0% cap and 0% scaling, thus meaning schools retain all gains.

Please note that the total deduction for capping and scaling (given in **cell J80**) can be greater than the total MFG adjustment, as shown in **cell J75**.

The total deduction for capping and scaling as well as the MFG Gross and Net Funding are subsequently calculated for you.

High needs threshold, additional funding from the high needs budget, growth fund and falling rolls fund

High Needs threshold (only fill in if, exceptionally, a high needs threshold different from £6,000 has been approved)	
Additional funding from the high needs budget	
Growth fund (if applicable)	
Falling rolls fund (if applicable)	

Figure 18: Proforma sheet: additional funding

Schools pay for the first £6,000 of additional high needs support from their delegated budget; this threshold has been mandatory since 2013 and all local authorities should be using it. If, however, a different high needs threshold has been approved by the ESFA on an exceptional basis, you can enter that threshold here.

Please specify the values of any additional targeted funding from your high needs budget and for your growth and falling rolls funds if applicable.

Proforma outputs

The Total Funding for the Schools Block Formula, the % of Funding distributed through Basic Entitlement, the % of Pupil led Funding and the primary: secondary ratio are then calculated automatically in this final section of the Proforma sheet.

Other Adjustment to 18-19 Budget Shares	£0	
Total Funding For Schools Block Formula (including growth and falling rolls funding)	£0	
% Distributed through Basic Entitlement	0.00%	
% Pupil Led Funding	0.00%	
Primary: Secondary Ratio	N/A	N/A
Total funding for schools block formula contains funding from outside of the 2019-20 Schools Block allocation?	No	

Figure 19: Proforma sheet: output

Please note that if the 80% minimum pupil-led funding threshold criterion is not met, the percentage displayed in **cell J93** will be highlighted in red and it will be flagged up as a 'Fail' in the [Validation](#) sheet.

The methodology used for calculating the primary: secondary ratio in the APT matches that used by the ESFA in the publication of local authorities' 2013 to 2014 through to 2018 to 2019 schools block funding formulae. A description of this can be found here in [Schools block funding formulae 2018 to 2019](#).

If the Total Funding For Schools Block Formula figure calculated in cell J91 includes funding which is from outside of the schools block allocation please enter Yes in cell J96 and provide details in cell C43 of the [Commentary](#) sheet. Please note that you will get a 'Fail' in the [Validation](#) sheet if no commentary is provided.

De-Delegation sheet

This sheet should be used to detail any de-delegation values where an agreement exists for allowable budgets to be handed back by maintained schools to the local authority to be funded centrally.

For the purposes of de-delegation please note that:

- middle-deemed and all-through schools have de-delegation calculated based on both their primary and secondary pupil numbers.
- academies are not included and will have a de-delegation value of £0.00.

The sheet contains two tables, a unit value input table (figure 18) and a school-level calculation table (figure 19).

The relevant total primary and secondary pupil numbers are populated automatically in columns D and E of the unit value input table. Where there is an option for one of the formula factors the table shows the indicator selected at the relevant cells of the [Proforma](#) sheet and the relevant pupil numbers for the factor. The lump sum row shows number of schools (adjusted for the proportion of year they will be open for). Against each of the factors listed in row 6, indicate a unit value for each phase e.g. contingencies at £xx per pupil or free school meal eligibility at £xx per pupil and £xx per FSM pupil. The total de-delegation unit value per phase will be shown in columns X and Y and the total de-delegated budget in columns Z and AA.

	Units including fringe uplift		Contingencies		Free school meals eligibility		Insurance	
	Primary	Secondary	Primary	Secondary	Primary	Secondary	Primary	Secondary
Primary AWPU	-	-						
Secondary AWPU	-	-						
FSM	-	-						
FSM Ever 6	-	-						
IDACI Band F	-	-						
IDACI Band E	-	-						
IDACI Band D	-	-						
IDACI Band C	-	-						
IDACI Band B	-	-						
IDACI Band A	-	-						
LAC X March 16	-	-						
N/A	-	-						
Secondary low prior attainment	-	-						
N/A	-	-						
N/A	-	-						
Mobility %	-	-						
Lump Sum	-	-						
For the Sparsity factor only please enter a percentage and not a unit value								
Sparsity funding	-	-						

Figure 20: De-delegation sheet: unit values

The school level calculation table calculates the total de-delegation for each school, which is then subtracted from the school budgets after MFG in the [New ISB](#) sheet.

LAESTA [®]	School Name	Phase	Basic Entitlement	FSM	FSM Ever 6	IDACI Score 0.2 - 0.25	IDACI Score 0.25-0.3	IDACI Score 0.3- 0.35	IDACI Score 0.35-0.4
Total			£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
1111111	School 1	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
1111112	School 2	S	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
1111113	School 3	S	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
1111114	School 4	S	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
1111115	School 5	MP	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
1111116	School 6	MP	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
1111117	School 7	MS	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
1111118	School 8	AT	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
1111119	School 9	AT	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
1111120	School 10	AT	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00

Figure 21: De-delegation sheet: school level

Education Functions sheet

Local authorities are able to fund specific services relating to maintained schools only from maintained school budget shares with the agreement of maintained school members of the schools forum.

The [Education Functions](#) sheet collects this information. The amount agreed by the relevant maintained schools members of the schools forum (primary, secondary, special and PRU) should be entered in cell E6. The amount entered will be a single per pupil rate for pupils aged 5 to 16-year-old for all mainstream maintained schools.

New ISB sheet

This is an output sheet displaying the new Individual School Budgets (ISB) for all your schools, resulting from decisions you have input in to earlier sheets and the original school level data.

The per pupil amounts that have been entered in the [Proforma](#) and the factor proportions and unit rates have been combined with NOR to display a breakdown of the different elements contributing to each school's final school budget.

As with other sheets, many column headings have red corners indicating a comment which will give further information if the cursor is moved over the heading.

Please note that this sheet is entirely populated by spreadsheet formulae. These cannot be deleted or edited. However, the user can click on a cell to view the formula used.

If you are not using the minimum per pupil funding factor then columns AZ to BD, BX and BY will be greyed out. Columns AZ to BD calculate any additional funding allocated through the factor and columns BX and BY show the comparable per pupil funding after capping and scaling for confirmation that the funding has not been reduced below the minimum level.

If you are not using the funding floor factor columns BF to BJ will be greyed out. These columns calculate any additional funding allocated through the factor if it is selected.

If neither the minimum per pupil funding factor or the funding floor factor are selected then columns BN and BO will also be greyed out. These columns are used to ensure that capping and scaling do not reduce allocations below the minimum for either factor.

School level SB sheet

Please select the LAEtab of a school from the drop-down list in cell C9 and the Proforma and De-delegation tables will be populated with the factors and unit values you have selected in the respective sheets along with the school's details. Alternatively, you can also simply type in a LAEtab in this cell.

This sheet allows the user to display the funding the selected school will receive under the formula entered in the APT. There is space for a local authority to include their logo or crest on this page, and you may find it helpful for generating a summary of 2019 to 2020 funding which you can publish on your intranet or send to schools in your area.

The purple cells are automatically populated using formulae and their contents cannot be edited. Otherwise, this sheet is not locked so you have considerable scope to adjust and tailor it to your needs. For example, you can: add rows and columns; delete any row or column that does not contain a purple cell; adjust row heights and column widths; overwrite any text; the print range is pre-set to print both tables shown on this sheet, but you can adjust it if you like.

Recoupment sheet

This sheet estimates the amount to be recouped for all academies that open prior to 7th January 2019. This cut-off date is set to make sure that only known conversions are recorded and also to ensure consistency across local authorities. Columns D to G and column J are automatically populated with the list of academies, their post-MFG budget calculated in the [New ISB sheet](#) sheet.

You will then be required to populate column I with the growth funding adjustment for academies for the period April to August 2019 (if applicable). This should be a positive figure. ESFA will only be able to exclude this figure from the total recoupment amount if we are satisfied that the growth fund payments are appropriate and consistent with the narrative agreed within your 2018 to 2019 APT. You should also enter in column H the growth funding calculated for the period September 2018 to March 2019.

Please provide a narrative to explain how the adjustment has been calculated in column J, making appropriate references to the 2018 to 2019 APT and including the calculations used to derive the figure in column I. Please show the full-year figures (September 2018 to August 2019) within the calculation.

Where a local authority makes a growth fund payment to an academy from September 2018, the authority should continue this payment until the end of August 2019, that is when the academy receives its revised funding allocation. To enable authorities to continue these payments for the period April 2019 to August 2019 we will make an appropriate recoupment adjustment. This adjustment can only be made if it is supported by sufficient narrative evidence.

Growth fund recoupment adjustments will not be made for 'diseconomies of scale' or 'start-up' funding. This funding will continue to be met from the local authority's growth fund for the year in which the growth fund is paid.

Growth fund recoupment adjustments can only be made in respect of the period April – August 2019 for payments made to academies for increased pupil numbers from September 2018. This is because these pupils will be included in the October 2018 census data, which is used to calculate DSG payments and subsequently the ISB for academies, which we then recoup. A recoupment adjustment is appropriate in these circumstances because we will have already recouped DSG funding in respect of the additional pupils but the academies will not receive this funding until September 2019.

The information required from authorities (in column J) is as follows:

- the narrative shows that the growth fund payment for April – August 2019 is consistent with the 2019 to 2020 growth fund criteria.
- demonstrate that the payment is for an increase in pupil numbers and is not 'diseconomies of scale' or 'start-up' funding.

- show the full year figure and demonstrate the calculation for the period April 2019 to August 2019.

URN	LAESTAB	School name	Post MFG budget including additional funding to ensure minimum level of per pupil funding level	Payments from growth fund paid in September 2018 – March 2019	Growth funding adjustment for April 2019-August 2019	Justification for growth fund adjustment
Total			£0	£0	£0	

Figure 22 – Recoupment

Lastly, the total recoupment amount for each academy is automatically calculated in column J by subtracting the growth funding adjustment from the Post-MFG Budget.

Please note that the recoupment figures calculated in this sheet are provisional and are subject to change. The ESFA will write to each authority by the end of April 2019 providing the final recoupment amounts with respect to all academies that will have opened by 31 March 2019.

After initial recoupment calculations we will then update at points throughout the year to reflect schools converting/opening.

Validation sheet

This is an important information sheet that should help both in any modelling you choose to do and should also be reviewed prior to submission of your proforma to the ESFA.

Throughout the tool there are a number of in-cell validation checks in place which are there to help stop invalid data being entered (short LAEstab numbers being entered for example). In addition to these checks the Validation sheet provides further checks to help minimise the entry of data which would result in an incorrect or unallowable allocation being calculated.

The sheet displays a variety of Pass/Fail checks covering high level checks for values from the proforma (e.g. checking the lump sums allocated do not exceed £175,000) to school-level checks such as ensuring the NOR figures provided for the primary year groups are equal to the school's total primary NOR.

Each check on the sheet has a heading and an embedded comment which gives more detail about the specifics of that particular check (comments are indicated by the small red triangle and can be seen by hovering the mouse cursor over the cell).

At the very top of the sheet is an overall check. If this check is a 'Pass' it indicates all other checks have passed. (Please note passing all these checks does not necessarily mean the proforma will be approved by the ESFA. For example, even if you get a 'Pass' at the check relevant to the [Commentary](#) sheet the ESFA will still have to confirm that the narratives provided comply with the regulations, or that MFG exclusions have been approved. We have not been able to build in checks to cover all possible issues but we have tried to cover the majority of issues which have caused re-submission problems in the past.)

The table of checks at school level has an overall check at the top of each column. If this check is a 'Pass' it indicates all schools below have passed that check. If the check is a 'Fail' at least one of the schools below will be flagged as failing the check and you should scroll down the list to identify where the problem presents itself.

The Validation sheet is there to help you ensure your data is entered correctly. Failed checks on the validation sheet will not prevent submission of the proforma however a proforma submitted with failed checks is highly likely to require re-submission.

Contact Information

Any questions or queries about the APT and how it works, or requests for the password to open your APT file should be made to:

APTsubmissions.QUESTIONS@education.gov.uk

Annex A – Local adjustments to the supplied data

In some cases it will be necessary to use a local calculation or estimate, based on the technical descriptions given in the Schools block dataset technical specification published by the ESFA alongside this instruction note, to ensure the data used is representative. This only applies to individual schools. This section describes when and how this should take place. Adjustments should be recorded via the [Inputs & Adjustments](#) sheet, as already described, and a clear explanation for the change must be provided in each case.

Schools undergoing change

In the case of a planned amalgamation, the data should be taken from each of the predecessor schools as they appear in the [Schools Block Data](#) sheet and then merged using weighted sums for each of the pupil-led factors. In the case of a brand new school with no relevant predecessors, or a school converting from the private sector, a local estimate should be used based on similar schools in the local authority area for the first year.

Local authorities must also request ESFA approval to record a reduction to the supplied pupil numbers for specific schools where a school has changed, or is going to change, its age range by losing year groups.

Individual data points that are not representative

For some schools the indicators will not be representative. A common example of this relates to the mobility indicator. If a school had opened in April two years ago, then the majority of its pupils will be classed as mobile. This can often occur for sponsored academies, with many pupils classed in the census data as joining the school on the date it became an academy, rather than the date they joined the new school or its direct predecessor. In this case, it would be reasonable to use a local estimate for the mobility indicator, using the method outlined in the mobility section below. Making such a change does not require prior ESFA approval, but clear explanations for any such changes must be provided on the Inputs & Adjustments sheet.

Anomalous primary/secondary pupils

Where a primary school has only one or two secondary phase pupils in the data, or conversely where a secondary school has a small number of primary phase pupils, this may suggest a school census recording error. Local authorities may wish to verify whether these are errors, and if so amend the data accordingly, to avoid incorrect formula allocations. Making such a change does not require prior ESFA approval, but

clear explanations for any such changes must be provided on the [Inputs & Adjustments](#) sheet of the APT.

Sparsity distances

Local authorities have made exceptional applications for schools that would have had significantly higher distances if road distances had been used instead of crow flies distances and would not otherwise have qualified for the sparsity factor. Similarly, exceptional applications can be made for schools that open after the distances have been calculated. An existing school that qualifies for sparsity funding in the data provided will not lose that funding in year if a new school opened nearby. For schools that may qualify for sparsity funding as a result of another school nearby closing, an exceptional application should be agreed with the relevant schools forum, and submitted to the ESFA for approval.

Annex B – Calculating funding floor baselines

Where schools do not have a 2017-18 baseline, we have created a theoretical baseline based on the local authority formulae from 2017-18. This is to ensure that new schools are not disadvantaged compared to other schools in their local authority. We have done this for each local authority for three categories of school: (a) new schools, (b) schools that have amalgamated and (c) schools that have split. These theoretical baselines were created using the rules below.

New schools

To calculate the theoretical baselines we use an average primary and secondary 2017 to 2018 baseline for each local authority and apply that to the new school dependent upon which local authority and phase the school belongs to.

Step 1

For each school in the APT (excluding schools identified as new and growing), we calculate a pupil-led funding rate per pupil (take the full 2017 to 2018 APT allocation post MFG, excluding one-off funding, subtract lump sum and sparsity, premises, mobility and divide by the NOR in the APT).

Step 2

For each local authority take the average per pupil 2017 to 2018 pupil-led rate for all primary and secondary schools. This gives a primary and secondary per pupil baseline 'rate' for each local authority.

Step 3

For each new school that requires a theoretical baseline, we multiply the 'if full' primary and secondary NOR by their appropriate local authority's primary and secondary baseline rate respectively. This gives an 'If full' pupil-led total.

Step 4

We then take the 'If full' pupil-led total and add the local authority's lump sum to give a total 'If full' baseline (excluding premises, mobility and sparsity).

Step 5

To get to an equivalent baseline to be used in the funding floor calculation we take this total 'If full' baseline, subtract the NFF lump sum (adjusted for ACA) and then divide by the 'If full' pupil count and multiply by the proportion of the year the school is open for.

Amalgamating schools.

The approach to amalgamating schools uses the same method as the MFG, combining the allocations of the predecessor schools.

Step 1

Take the total 2017 to 2018 NFF baseline (excluding mobility, and premises) for each school in the amalgamation (n = the number of schools) and add them together to form an amalgamated baseline.

Step 2 Take $(n-1)$ local authority lump sums off this amalgamated baseline total. Where the predecessors attracted different lump sums (i.e. because they were different phases) then the remaining lump sum should be appropriate to the new phase and the location of the school.

Step 3

To calculate the per pupil baseline to be used in the funding floor calculation then subtract the NFF lump sum (adjusted for ACA) and divide by the pupil count.

Split schools.

Where the successor schools are all of the same phase as the predecessor (for example, a primary school splitting into separate infant and junior schools) then each of the successor schools will be given the predecessor's 2017 to 2018 NFF per-pupil baseline. For all other split schools we will use the approach taken for new schools, in this case, using actual NOR rather than the 'if full' NOR used for brand new schools.

Annex C – Common issues

Q: Can I reorder the lists of schools in the APT's sheets?

A: No. The prepopulated data contained in the [Schools Block Data, 17-18 funding floor baselines](#) and the [18-19 submitted baselines](#) sheets is locked and cannot be changed – this also applies to the order in which the schools and academies are listed. The order of schools listed on the [Local Factors](#) sheet (and consequently the [Adjusted Factors, 17-18 FF final baselines, 18-19 final baselines, De-delegation, New ISB](#) and [Recoupment](#) sheets) is the same as in the Schools Block Data sheet, with any schools added to the list using the [Inputs & Adjustments](#) sheet appearing at the bottom.

You can, however, add new sheets to the APT for your own modelling purposes. So if you wished to see the data on a sheet ordered differently, you could copy that across into your new sheet and order it in any way you wish. Please note that any sheets you add to the APT will need to be removed before you submit data to the ESFA (if you wish to provide additional information on new worksheets these should be saved separately and embedded in column F of the Commentary sheet. Reordering has no impact on individual schools' calculations; it simply affects the position in which they are displayed in the APT tables.

Q: Why do I have a duplicate school shown on the Local Factors sheet?

A: This is because an amalgamation or academy conversion has been entered on the Inputs & Adjustments sheet but the predecessor LAEtab reference has not been entered and the LAEtab of the new school is the same. This reference is needed to prevent the original entry from the Schools Block Data sheet being carried forward to later sheets along with the new school. From 2019 to 2020 duplicated schools will be flagged as failures on the Validation sheet.

Q: Why is the London Fringe column (column K) in the Local Factors sheet prepopulated with 1.00 entries?

A: This is needed so that the APT's formulae work correctly. However, these values can be changed: for any school for which an adjustment is recorded here that is on the London Fringe, local authorities simply need to instead select the correct value from the drop-down list in this column.

Q: I've got a school which amalgamated during 2018 to 2019 or on 1 April 2018 but the lump sum amount automatically calculated in the New ISB sheet is too low – it does not show the full amount of 85% of the combined lump sum of the predecessors. However, the New ISB is locked so how can I adjust this?

A: Approved Exceptional Circumstance 1 (column AB of the [Local Factors](#) sheet) is reserved for this purpose.

Column AE of the [New ISB](#) sheet is populated automatically with the lump sum amount due to a school based on its phase. For schools which were created from a merger during 2018 to 2019 or on 1 April 2018, this is not the full lump sum amount to which they are entitled under the 85% arrangement. You should record in column AB of the [Local Factors](#) sheet as Approved Exceptional Circumstance 1 the additional lump sum funding, over and above the amount shown in column AE of the [New ISB](#) sheet, that the school will receive (NB: do not enter the school's full lump sum amount here: just the additional amount). In the [New ISB](#) sheet, the sum of the amounts shown in column AE and column AK for the school should sum to the correct lump sum figure. This additional lump sum will also be automatically excluded from the MFG calculations similar to the lump sum factor.

Q: The Validation sheet is showing a check Fail, but I can't work out what the problem is or how to pass the check.

A: The [Validation](#) sheet contains comments providing detailed information to help you. Hold your mouse cursor over the relevant column heading or row heading with a red triangle in the top-right corner, and a comment box will appear. This will explain why the check has failed and how to resolve it. It is not uncommon that resolving one failed check will at the same time cause other failed checks to become passed. If you are still having problems then please contact the ESFA using the email address provided earlier in this document.

Q: One of the maintained schools in my Schools Block Data sheet has since converted to become an academy; its LAEstab has changed but none of the other data. Why do I need to re-type all the NOR and factors data about the school in the Inputs & Adjustment sheet when it is already sitting in the Schools Block Data sheet?

A: Unfortunately you need to do this because otherwise the APT's formulae will not work correctly. However, it should be a quick process. All the columns in the [Schools Block Data](#) sheet appear in the same order in the [Inputs & Adjustments](#) sheet, so you can simply copy and paste special the values across in one go.

Q: If, after filling in all the required data in the Local Factors sheet, an adjustment needs to be recorded in the Inputs & Adjustments sheet, for example if a school is converting/amalgamating/opening near the submission date, do I need to re-enter all the data?

A: It is very important to check that the school list in the [Local Factors sheet](#) displays the correct maintained schools and academies expected to be funded in 2019 to 2020, **BEFORE** entering any data here, because if you record further adjustments in the [Inputs & Adjustments](#) sheet after entering data the [Local Factors](#) sheet school list will change accordingly but the data you have entered in the light blue cells will stay in the same place. As such, some or all of that data may now appear against the wrong school or

academy. If, however, it is not possible to complete the APT in this sequence we suggest saving a separate copy of your APT once you've completed the bulk of your entries. Then, if you need to input new/amalgamated/converter schools at a later stage, you can use a lookup formula to populate the [Local Factors sheet](#) with figures contained in your separately-saved copy, remembering to replace these formulae with values before you submit your APT to the ESFA.

Q: One of the academies that converted prior to 7th January 2019 has more than one predecessor school. How do I record this adjustment in the Inputs & Adjustments sheet?

A: In the [Inputs & Adjustments](#) sheet, select the reason 'Conversion to academy status prior to 7 January 2019' in column A. Then, in columns B to E enter the LAEstabs of all predecessor schools. Fill in the remaining cells in the sheet as required, bearing in mind that if the academy has kept the LAEstab number of one of its predecessors you only need to enter data for the NOR or proportions where a change is needed from the figures for the predecessor school contained in the [Schools Block Data](#) sheet. You do not need to re-enter data for factors where no change is needed and should leave such cells blank. The APT's formulae in the subsequent sheets will automatically pick up the relevant factors data from the [Schools Block Data](#) sheet.

Q: One of the schools in my APT has 8% mobile children – why does it show zero mobile children in the Adjusted Factors sheet?

A: The mobility factor only applies above 10%; in the [Adjusted Factors](#) sheet, the APT automatically deducts the 10% when calculating the number of children at a school eligible for this factor.

Q: In the prepopulated Schools Block Data sheet, why do the sparsity distances for my middle-deemed primary schools appear under the 'Secondary sparsity av. Distance to 2nd school' column?

A: For the sparsity factor, the sparsity average distances for middle-deemed primary schools, middle-deemed secondary schools and all-through schools appear in the secondary column of the [Schools Block Data](#) sheet so that they feed through into the rest of the APT and its calculations correctly.

Q: One of the schools in my APT is recorded with a wrong phase and therefore gets a 'Fail' indication in the 'NOR & Phase' check of the Validation sheet. How can I resolve this issue?

A: This check will fail for a school if its phase and NOR don't align in the Adjusted Factors sheet

To resolve this check, please amend the phase of the school in the [Inputs & Adjustments](#), sheet, by selecting 'Other' from the drop-down list in column A and then

selecting the correct phase from the drop-down list in column I. Please note that if you change the phase from 'Primary' to any of the other phases you will need to ensure that you re-enter the sparsity distance for the school in the secondary sparsity distance column (column BJ), as the sparsity average distances for middle-deemed primary schools, middle-deemed secondary schools and all-through schools appear in the secondary column.



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