



Education & Skills  
Funding Agency

# **How to complete the authority proforma tool**

**Instructions for local authorities**

**December 2020**

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## Introduction

Each year local authorities are required to detail their schools block funding formulae in accordance with the arrangements set out by the Secretary of State for Education.

The Education and Skills Funding Agency (ESFA) has developed the authority proforma tool (APT) to assist local authorities to model, and then confirm, how they plan to do this for the funding year. The current APT is an updated version of last year's APT.

This guidance is designed to be used in tandem with the 'authority proforma tool – purpose and process' publication.

## APT changes

The main changes to the 2021 to 2022 APT are:

- the minimum funding guarantee (MFG) threshold has been adjusted to only allow entries between 0.5% and 2%
- we have used 2019 data from the Income Deprivation Affecting Children Index (IDACI) in place of 2015 data—we have changed the basis on which we assign pupils to the 7 IDACI bands: they are now assigned based on rank rather than score (for example, Band A now consists of pupils in the most deprived 2.5% of lower super output areas (LSOAs), instead of consisting of pupils in LSOAs with an IDACI score greater than 0.5)
- prior years' adjustments entered on the 'Local Factors' worksheet are automatically excluded from the calculation of the minimum per pupil levels of funding (MPPL)
- the NFF now includes the teachers' pay grant (TPG) and teachers' pension employer contribution grants (TPECG) in the schools block allocations—this funding has been added to the MFG baselines to ensure the funding is passed on to schools
- following the cancellation of 2020 primary school assessments due to coronavirus (covid-19) for the final December version of the APT, the low prior attainment (LPA) ratios for years 1 and 7 for each school will be updated using the corresponding schools ratio for pupils in years 2 or 8 or, for new schools, the local authority average for years 2 or 8

## How to complete the APT

This guidance is designed to support you to complete the APT on a step-by-step basis, with the option of following either a detailed or high-level overview of these steps (depending on experience).

Please note that the APT has been created using Microsoft Excel to make it as user friendly and wide reaching (software wise) as possible.

## High-level overview

The following is a high-level overview of how to complete and use the APT, designed as a reference guide for experienced users.

Please use the following alongside the individual worksheet descriptors in the 'authority proforma tool – purpose and process' publication.

### Step 1

On receipt of the APT, you should initially review these 4 prepopulated worksheets:

- 'Schools Block Data'
- '20-21 submitted baselines'
- '20-21 HN places'
- 'Proposed Free Schools'

The list of schools shown in the first 2 worksheets reflect, respectively, the maintained schools and academies in the local authority as at the date of the October school census and the maintained schools and academies that were listed on the final local authority 2020 to 2021 APT return.

You should review the list of maintained schools and academies to be funded in the 2021 to 2022 financial year, as it may have changed since this data was compiled.

The '20-21 HN places' worksheet shows the planned pre-16 high needs places as submitted to ESFA as at March 2020. This data is for information purposes only and does not feed into any calculations in the APT.

The 'Proposed Free Schools' worksheet contains details of any free schools proposed to open after the October census date, but before the end of the 2021 to 2022 academic year.

### Step 2

Next, you should use the 'Inputs & Adjustments' worksheet to record changes to the list of schools shown in the 'Schools Block Data' worksheet, where this data does not reflect the maintained schools and academies to be funded from the schools block in 2021 to 2022. The following should be recorded in the 'Inputs & Adjustments' worksheet:

- new schools to be added to the list
- closed schools to be removed from the list
- schools which have or will amalgamate
- new academy conversions
- any schools listed on the 'Proposed free schools' worksheet

You can also use this worksheet to record where a school's number on roll (NOR) data, or proportion of pupils to which the per-pupil formula factors apply in the 'Schools Block Data' worksheet, are unrepresentative of the situation of the school in 2021 to 2022.

### Step 3

Changes recorded in the 'Inputs & Adjustments' worksheet will automatically be reflected in the schools list shown down the left-hand side of the 'Local Factors' worksheet.

This schools list is also automatically replicated on all the other worksheets of the APT, so it's important that you review the list shown in the 'Local Factors' worksheet to ensure that it reflects the maintained schools and academies expected to be funded in 2021 to 2022.

If the list is incorrect, you should record any changes in the 'Inputs & Adjustments' worksheet before entering any data in the 'Local Factors' worksheet.

The list of schools shown here is now referred to in this section as the '2021 to 2022 list'.

### Step 4

The blue user-input cells of the 'Local Factors' worksheet need to be populated and you will also need to enter additional information relevant to each school, such as rates or agreed exclusions.

The above should be undertaken once all the required entries on the 'Inputs & Adjustments' worksheet have been completed.

The 'Adjusted Factors' worksheet will automatically display 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' worksheets. No data entry is required here, but you may wish to review this worksheet when modelling different options.

### Step 5

Next, review the '20-21 final baselines' worksheet. Schools in the 2021 to 2022 list that are also shown in the prepopulated '20-21 final baselines' worksheet, are automatically populated with the 2020 to 2021 baseline data. This includes an amount representing the funding schools receive through the TPG, the TPECG and supplementary fund in respect of their reception to year 11 pupils. For more information on how that has been calculated, see the [Schools block national funding formula: technical note](#).

### Step 6

In the blue user-input cells, you will need to enter information relating to baselines for new schools that were entered on the 'Inputs & Adjustments' worksheet and also any

amendments required from reviewing the '20-21 submitted baselines' worksheet. Guidance for calculating the total TPG and TPECG is given in Annex F.

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

Navigate to the 'Proforma' worksheet and enter your local authority's 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

#### Step 7

Next, undertake the following:

- in the 'De Delegation' worksheet, enter the de-delegation unit values
- in the 'Education Functions' worksheet, enter the unit value for the education functions for maintained schools

#### Step 8

Navigate to the 'New ISB' worksheet and you will observe that this will display the resultant allocations for the individual schools in the local authority's 2021 to 2022 list, including MFG funding and capping/scaling.

#### Step 9

Review the 'Validation' worksheet and check that the current funding formula has passed the various data checks. Ensure that nothing has been entered in error or missed out.

The elements of this page which highlight whether you have failed to provide some required commentary can be ignored for modelling purposes.

#### Step 10

We anticipate that users will use and refer primarily to the 'Local Factors', 'Proforma', 'De Delegation', 'New ISB' and 'Validation' worksheets to explore and analyse different options for their 2021 to 2022 funding formulae.

#### Step 11

The 'Commentary', 'School level SB' and 'Recoupment' worksheets do not need to be used for modelling different funding formulae options for 2021 to 2022, although you may find them helpful.

The 'Recoupment' worksheet displays all of the academies in the 2021 to 2022 list and allows you to estimate the amount of dedicated schools grant (DSG) funding that will be recouped by ESFA. The worksheet is predominantly populated (automatically) from data entered elsewhere in the APT, although you are still required to enter details of growth funding adjustments for the period of April to August.

## Step 12

When the modelling is complete, you should ensure that all applicable 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' worksheet and that all the checks in the 'Validation' worksheet have been passed.

For all validation checks to pass, you must include an explanation in the 'Commentary worksheet', 'Inputs & Adjustments' worksheet and elsewhere, if you have included any additional factors.

Please also ensure that you delete any extra worksheets 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 a macro enabled workbook). If you wish to provide further information then the files should be embedded on the 'Commentary' worksheet. You must also remove any external links before uploading the completed APT.

## Step 13

The 'School level SB' worksheet allows users to display the funding that an individual school will receive under the formula entered in the APT. There is also space for local authorities to include their logo or crest on this page and you may find it helpful for generating a summary of 2021 to 2022 funding, which you can then send to schools in your area.

For further details of the 2021 to 2022 funding arrangements, please refer to the [Schools operational guide 2021 to 2022](#).

## Detailed overview

The following is the detailed overview of how to complete and use the APT, designed as a reference guide for inexperienced users.

On receipt of the APT, it is recommended that you save a copy of this locally before you start to edit. This is so you have a backup of an unedited copy, should any corruptions occur. In addition, continue to save the workbook often so that you do not lose any edits you make along the way.

Once saved, open up the workbook and you will notice workbook 'tabs' along the bottom of the screen. Each worksheet has a colour which represents the following:

- yellow—un-editable/prepopulated
- blue—editable (this is where you'll need to enter your data)
- purple—automatic calculation outputs/un-editable

Worksheets coloured blue or purple can contain both editable and non-editable cells which adopt the same colour coding (please see the 'authority proforma tool – purpose and process' for further details).

### 'Cover' worksheet

This worksheet contains a lot of reference material and information on the rest of the workbook, however, you will observe that there are a number of blue cells between rows '2' and '17', some of which require your input.

In cell 'C5' enter your name (you can enter additional contact names in cells 'E5' and 'I5' as well).

In cell 'C6' enter your email address (if you have entered additional contact names, you should enter their email addresses in cells 'E6' and 'I6' as well).

In cell 'C7' enter your contact telephone number (if you have entered additional contact names, you should enter their contact telephone numbers in cells 'E7' and 'I7' as well).

You are now required to 'select' whether 'political ratification' has been completed in cell 'B12'— do this by checking the box next to the statement that reads, 'By submitting this APT, I confirm that the appropriate political ratification has been completed'. If it has not been completed, you must enter a date when it will be done in cell 'C14'.

In cell 'C14' please enter the date that political ratification will be completed if it has not already been done.

Save the workbook.

## Prepopulated (reference) worksheet review

There are 4 pre-populated worksheets that require initial review, as the data inside will dictate your next actions. These worksheets cannot be edited. They are:

- 'Schools Block Data'
- '20-21 submitted baselines'
- '20-21 HN places'
- 'Proposed Free Schools'

You will need to review the lists of maintained schools and academies to be funded in the 2021 to 2022 financial year, found in each of these worksheets, as it may have changed since this data was compiled (from the October census).

## Schools Block Data

The list of schools and their associated values, as shown in the 'Schools Block Data' worksheet, denote both maintained schools and academies in the local authority area, as of the October 2020 school census.

We have updated the 2020 to 2021 schools block to use 2019 data from the Income Deprivation Affecting Children Index (IDACI) in place of 2015 data. We have changed the basis on which we assign pupils to the 7 IDACI bands: they are now assigned based on rank rather than score.

For school funding purposes, the NFF uses IDACI ranks to group LSOAs into 7 bands of decreasing deprivation. These are shown in Figure 1. Funding can only be allocated to pupils in bands A to F.

<b>Factor</b>	<b>Ranks</b>	<b>Band</b>
<b>Pupils in the most deprived 2.5% of LSOAs</b>	1 to 821	A
<b>Pupils in the next 5% most deprived LSOAs</b>	822 to 2,463	B
<b>Pupils in the next 5% most deprived LSOAs</b>	2,464 to 4,105	C
<b>Pupils in the next 5% most deprived LSOAs</b>	4,106 to 5,747	D
<b>Pupils in the next 10% most deprived LSOAs</b>	5,748 to 9,032	E
<b>Pupils in the next 10% most deprived LSOAs</b>	9,033 to 12,316	F
<b>Pupils in the least deprived 62.5% of LSOAs</b>	12,317 to 32,844	G

**Figure 1: updated bands based on 2019 IDACI data**

## **20-21 submitted baselines**

In this worksheet, you'll find the complete list of schools which were submitted by the local authority in last year's APT return, and a snapshot of the final budget figures. The worksheet now also includes an amount representing the funding schools receive through the TPG, the Teachers' Pension Employer Contribution Grants TPECG and supplementary fund taken from the 2021 to 2022 national funding formula.

## **20-21 HN places**

This worksheet shows the planned pre-16 high needs places submitted to ESFA at March 2020.

Note: this data is for information purposes only and does not feed into any calculations in the APT.

## **Proposed free schools**

This worksheet contains the details of any free schools proposed to open after the October census date, but before the end of the 2021 to 2022 academic year.

Dummy reference numbers have been included for each of the schools. If the actual reference is known at the point the APT is completed, they should be used instead when entering the school on the 'Inputs & Adjustments' worksheet.

## Inputs & Adjustments

Following review of the prepopulated worksheets and identification of where edits/additions need to be made, you will need to move onto entering data into the 'Inputs & Adjustments' worksheet.

You should use this worksheet to record changes to the list of schools shown in the 'Schools block data' worksheet if this list does not accurately reflect the maintained schools and academies to be funded in 2021 to 2022.

Note: the NOR figures for a school contained in the prepopulated 'Schools Block Data' worksheet are a direct headcount of pupils in reception 'R' to year 11, taken from the October school census. They will therefore include pupils in a high needs unit at the school. Similarly, the NOR figures for any school entered by users into the 'Inputs & Adjustments' worksheet, should include all pupils in years R to 11, including those who will be educated exclusively through a high needs place at the school.

The scenarios that can be selected from the drop-down list of column 'A' in the 'Inputs & Adjustments' worksheet are:

- school closed prior to 1 April 2021
- new school opening prior to 1 April 2021
- new school opening after 1 April 2021
- amalgamation of schools by 1 April 2021
- change in pupil numbers/factors
- conversion to academy status prior to 4 January 2021
- new academy/free school
- other

Note that when you select an option from the drop-down list, one or more cells on that row will automatically change from 'greyed-out' to blue. This denotes that, as you have selected this particular reason, you will now need to complete the other blue cells on that row. If you omit any information the calculations in the subsequent worksheets may be incomplete. This is not applicable for the 'change in pupil numbers/factors' selection where only changes should be recorded.

### Points to note when completing

a) The instructions below have been written assuming you are starting at the first input for each scenario; therefore, if this is not the case, please use the next available blank row.

b) Subsequent worksheets in the APT are using the 'LAEstabs' as lookup references, so you must ensure that you input those correctly. The LAEstab must be 7 digits long.

- c) If you need to create a temporary LAEstab, the first 3 digits must be the LA number and the last 4 digits must be numeric, such as '9999'. You must avoid using valid reference numbers when entering dummy references.
- d) When entering the 'URN' for a school, this must be 6 digits long.
- e) If you need to create a temporary URN, the first 3 digits must be the LA number and the last 3 digits must be numeric, such as '999'.
- f) When entering updates to the number of pupils on roll you must complete all of the columns 'R' to 'AC.' If there are no pupils in a category you must enter '0'. Do not leave cells blank.

### **School closed (or that will close) prior to 1 April 2021**

In cell 'A6', please select 'school closed prior to 1 April 2021' from the drop-down list.

Only select this option if a school appears in the 'Schools Block Data' worksheet, but has since closed, or is due to close prior to the start of the financial year (prior to 01 April) 2021 to 2022.

For schools closing during the 2021 to 2022 financial year (post 01 April) you should not record the closure in this worksheet and should instead adjust the opening/closing proportion for the school as appropriate in column 'O' of the 'Local Factors' worksheet.

In cell 'G6', please enter the LAEstab of the school.

In cell 'BO6', please provide a narrative to explain the changes.

### **New school opening prior to 01 April 2021**

In cell 'A6', please select 'New School opening prior to 1 April 2021' from the drop-down list.

Only select this option if it is a brand new maintained school, opening prior to 01 April 2021. A school converting from the private sector should also be recorded under this reason.

Do not select this option to record a new academy or free school, as there is another drop-down selection to record this.

In cell 'F6', please enter the unique reference number (URN) of the new school (if this is not known, please create a temporary one).

In cell 'G6', please enter the local authority establishment number (LAEstab) of the new school (if this is not known, please create a temporary one).

In cell 'H6', please provide the new school's name.

In cell 'I6', please select the new school's phase from the drop-down list.

Leave cell 'J6' blank, as this is for new academies only.

In cell 'K6', please select whether the new school falls in the London fringe:

- no = '1'
- yes = '1.0156360164'

or

- the alternative value representing the area cost adjustment (ACA) differential:

Local authority	Multiplier
Buckinghamshire	1.0176
Essex	1.0339
Hertfordshire	1.0306
Kent	1.0368
West Sussex	1.0569

Middle schools only: in cell 'L6', please select the number of primary year groups in the new school (this is used to calculate the lump sum). Note that if you leave this cell blank for a middle school, that school will not be given a lump sum.

Middle schools only: in cell 'M6', please select the number of secondary year groups in the new school (this is used to calculate the lump sum). Note that if you leave this cell blank for a middle school, that school will not be given a lump Sum.

All schools (including middle schools): in cell 'N6', please the number of primary year groups in the new school.

All schools (including middle schools): in cell 'O6', please select the number of secondary year groups in the new school.

In cell 'P6', please select the number of key stage 3 (KS3) year groups in the new school. This is used to calculate the minimum per-pupil level of funding (MPPL).

In cell 'Q6', please select the number of key stage 4 (KS4) year groups in the new school (this is used to calculate the MPPL).

In cell 'R6', please enter the total (sum of primary and secondary) number on roll (NOR) at the new school.

In cell 'S6', please enter the primary NOR (if applicable) at the new school.

In cell 'T6', please enter the reception NOR (if applicable) at the new school.

Note: this figure does not include reception uplift.

In cell 'U6', please enter the total NOR of year groups 1 to 6 at the new school.

Note: This figure will only be used for the calculation of the eligible proportion of pupils for the primary low prior attainment (LPA) factor.

In cell 'V6', please enter the total secondary NOR (sum of KS3 and KS4) at the new school.

In cell 'W6', please enter the total KS3 NOR (sum of year group 7 and 8) at the new school.

In cell 'X6', please enter the total KS4 NOR (sum of year group 9, 10 and 11) at the new school.

In cell 'Y6', please enter the year group 7 NOR at the new school.

In cell 'Z6', please enter the year group 8 NOR at the new school.

In cell 'AA6', please enter the year group 9 NOR at the new school.

In cell 'AB6', please enter the year group 10 NOR at the new school.

In cell 'AC6', please enter the year group 11 NOR at the new school.

In cell 'AD6', please enter the number of additional reception pupils at the new school between October and January that have been determined through the reception uplift calculation (see Annex B). This figure is not included in the 'NOR reception' figure (column 'T').

Note: please enter '0' if there was a decrease.

In cell 'AE6', please enter the relevant factor proportion (0 to 1) of primary free school meals (FSM—see Annex B) for the new school.

In cell 'AF6', please enter the relevant factor proportion (0 to 1) of primary free school meals Ever 6 (FSM6—see Annex B) for the new school.

In cell 'AG6', please enter the relevant factor proportion (0 to 1) of secondary FSM for the new school.

In cell 'AH6', please enter the relevant factor proportion (0 to 1) of secondary FSM6 for the new school.

In cell 'AI6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band G (see Annex B) for the new school.

In cell 'AJ6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band F (see Annex B) for the new school.

In cell 'AK6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band E (see Annex B) for the new school.

In cell 'AL6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band D (see Annex B) for the new school.

In cell 'AM6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band C (see Annex B) for the new school.

In cell 'AN6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band B (see Annex B) for the new school.

In cell 'AO6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band A (see Annex B) for the new school.

In cell 'AP6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band G for the new school.

In cell 'AQ6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band F for the new school.

In cell 'AR6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band E for the new school.

In cell 'AS6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band D for the new school.

In cell 'AT6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band C for the new school.

In cell 'AU6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band B for the new school.

In cell 'AV6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band A for the new school.

In cell 'AW6', please enter the relevant factor proportion (0 to 1) of primary English as an additional language for pupils in their first year in the English education system (EAL1—see Annex B) for the new school.

In cell 'AX6', please enter the relevant factor proportion (0 to 1) of primary EAL2 for the new school (for pupils in their second year in the English education system).

In cell 'AY6', please enter the relevant factor proportion (0 to 1) of primary EAL3 for the new school (for pupils in their third year in the English education system).

In cell 'AZ6', please enter the relevant factor proportion (0 to 1) of secondary EAL1 for the new school.

In cell 'BA6', please enter the relevant factor proportion (0 to 1) of secondary EAL2 for the new school.

In cell 'BB6', please enter the relevant factor proportion (0 to 1) of secondary EAL3 for the new school.

In cell 'BC6', please enter the relevant factor proportion (0 to 1) of looked after children (LAC—see Annex B) for the new school.

In cell 'BD6', please enter the relevant factor proportion (0 to 1) of low prior attainment (LPA—see Annex B) under the early years foundation stage profile (EYFSP—see Annex B) for the new school. The local authority average for year 2 is provided in cell 'BD2'.

In cell 'BE6', please enter the relevant factor proportion (0 to 1) of secondary year group 7 LPA for the new school. The local authority average for year 8 is provided in cell 'BE2'.

In cell 'BF6', please enter the relevant factor proportion (0 to 1) of secondary year group 8 LPA for the new school.

In cell 'BG6', please enter the relevant factor proportion (0 to 1) of secondary year group 9 LPA for the new school.

In cell 'BH6', please enter the relevant factor proportion (0 to 1) of secondary year group 10 LPA for the new school.

In cell 'BI6', please enter the relevant factor proportion (0 to 1) of secondary year group 11 LPA for the new school.

In cell 'BJ6', please enter the relevant factor proportion (0 to 1) of primary mobility (see Annex B) for the new school.

In cell 'BK6', please enter the relevant factor proportion (0 to 1) of secondary mobility for the new school.

In cell 'BL6', please enter the average distance (in miles) to the second nearest primary school from the new school.

In cell 'BM6', please enter the average distance (in miles) to the second nearest secondary school from the new school.

Note: for the sparsity funding, all middle and all-through schools are recorded in the secondary column.

In cell 'BN6', enter 'Yes' where estimated pupil numbers have been entered into columns 'R' to 'AC' for the new school.

The default entry will be 'No' as generally the figure should reflect the actual pupil numbers expected at the school during the next year. However, it is understood that in some instances local authorities may provide a guaranteed level of funding based on their assessment of the number of pupils needed in particular year groups to make the new school viable. These estimated pupil numbers include an element of diseconomy costs. Therefore, if this is the case, please ensure that you select 'Yes' in cell 'BN6'.

If no entries (other than '0') have been made into columns 'R' to 'AC' then cell 'BN6' should be left blank.

In cell 'BO6', please enter a narrative for the addition of the new school.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect part-year attendance of the pupils at the new school, then:

- in cell 'BP6', enter 'Yes'
- in cell 'BQ6', enter 'No'
- in cell 'BR6', enter the number of months during the financial year the pupils will attend the new school (if you record these figures as days or weeks, please convert the amount to months)

We recommend entering these values as formulas. For example, if the pupils were present for 100 days then enter  $=100/365$ . This ensures that the proportion is not rounded.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect multiple changes during the year, then:

- leave cell 'BP6' blank
- in cell 'BQ6', enter 'Yes'
- leave cell 'BR6' blank

In this instance, please ensure you provide as much detail as possible in the comments, to enable ESFA to calculate the correct academic year pupil numbers.

In cell 'BS6', please enter the total (sum of primary and secondary) academic year NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BT6', please enter the academic year primary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BU6', please enter the academic year secondary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

You will observe that columns 'BW' to 'CU' have now been populated to calculate the total number on roll during the 2021 to 2022 academic year for the new school.

The academic year pupil numbers and the adjusted numbers are not used in any further calculations in the APT and are for validation purposes only.

### **New school opening on or after 1 April 2021**

In cell 'A6', please select 'new school opening prior to 1 April 2021' from the drop-down menu.

Select this option if it is a brand new maintained school opening prior to 1 April 2021. A school converting from the private sector, should also be recorded under this reason.

Do not select this option to record a new academy or free school, as there is another drop-down selection to record this.

In cell 'F6', please enter the unique reference number (URN) of the new school (if this is not known, please create a temporary one).

In cell 'G6', please enter the local authority establishment number (LAEstab) of the new school (if this is not known, please create a temporary one).

In cell 'H6', please provide the new school's name.

In cell 'I6', please select the new school's 'phase'.

Leave cell 'J6' blank, as this is for new academies only.

In cell 'K6', please select whether the new school falls in the London fringe:

- No = '1'
- Yes = '1.0156360164'

or

- the alternative value representing the area cost adjustment (ACA) differential:

<b>Local authority</b>	<b>Multiplier</b>
Buckinghamshire	1.0176
Essex	1.0339
Hertfordshire	1.0306
Kent	1.0368
West Sussex	1.0569

Middle schools only: in cell 'L6', please select the number of primary year groups in the new school (this is used to calculate the lump sum). Note that if you leave this cell blank for a middle school, that school will not be given a lump sum.

Middle schools only: in cell 'M6', please select the number of secondary year groups in the new school (this is used to calculate the lump sum). Note that if you leave this cell blank for a middle school, that school will not be given a lump sum.

All schools (including middle schools): in cell 'N6', please select the number of primary year groups in the new school.

All schools (including middle schools): in cell 'O6', please select the number of secondary year groups in the new school.

In cell 'P6', please select the number of key stage 3 (KS3) groups in the new school. This is used to calculate the minimum per-pupil level of funding (MPPL).

In cell 'Q6', please select the number of key stage 4 (KS4) groups in the new school (this is used to calculate the MPPL).

In cell 'R6', please enter the total (sum of primary and secondary) number on roll (NOR) at the new school as per the October census.

In cell 'S6', please enter the primary NOR at the new school as per the October census.

In cell 'T6', please enter the reception NOR at the new school as per the October census.

Note: this figure does not include reception uplift.

In cell 'U6', please enter the total NOR of year groups 1 to 6 at the new school as per the October census.

Note: This figure will only be used for the calculation of the eligible proportion of pupils for the primary low prior attainment (LPA) factor.

In cell 'V6', please enter the total secondary NOR (sum of KS3 and KS4) at the new school as per the October census.

In cell 'W6', please enter the total KS3 NOR (sum of year groups 7, 8 and 9) at the new school as per the October census.

In cell 'X6', please enter the total KS4 NOR (sum of year groups 10 and 11) at the new school as per the October census.

In cell 'Y6', please enter the year group 7 NOR at the new school as per the October census.

In cell 'Z6', please enter the year group 8 NOR at the new school as per the October census.

In cell 'AA6', please enter the year group 9 NOR at the new school as per the October census.

In cell 'AB6', please enter the year group 10 NOR at the new school as per the October census.

In cell 'AC6', please enter the year group 11 NOR at the new school as per the October census.

In cell 'AD6', please enter the number of additional reception pupils at the new school between October and January that have been determined through the reception uplift calculation (see Annex B). This figure is not included in the 'NOR reception' figure (column 'T').

Note: please enter '0' if there is a decrease.

In cell 'AE6', please enter the relevant factor proportion (0 to 1) of primary free school meals (FSM—see Annex B) for the new school (if applicable).

In cell 'AF6', please enter the relevant factor proportion (0 to 1) of primary free school meals Ever 6 (FSM6—see Annex B) for the new school.

In cell 'AG6', please enter the relevant factor proportion (0 to 1) of secondary FSM for the new school.

In cell 'AH6', please enter the relevant factor proportion (0 to 1) of secondary FSM6 for the new school.

In cell 'AI6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band G (see Annex B) for the new school.

In cell 'AJ6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band F (see Annex B) for the new school.

In cell 'AK6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band E (see Annex B) for the new school.

In cell 'AL6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band D (see Annex B) for the new school.

In cell 'AM6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band C (see Annex B) for the new school.

In cell 'AN6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band B (see Annex B) for the new school.

In cell 'AO6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band A (see Annex B) for the new school.

In cell 'AP6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band G for the new school.

In cell 'AQ6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band F for the new school.

In cell 'AR6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band E for the new school.

In cell 'AS6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band D for the new school.

In cell 'AT6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band C for the new school.

In cell 'AU6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band B for the new school.

In cell 'AV6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band A for the new school.

In cell 'AW6', please enter the relevant factor proportion (0 to 1) of primary English as an additional language for pupils in their first year in the English education system (EAL1—see Annex B) for the new school.

In cell 'AX6', please enter the relevant factor proportion (0 to 1) of primary EAL2 for the new school (for pupils in their second year in the English education system).

In cell 'AY6', please enter the relevant factor proportion (0 to 1) of primary EAL3 for the new school (for pupils in their third year in the English education system).

In cell 'AZ6', please enter the relevant factor proportion (0 to 1) of secondary EAL1 for the new school.

In cell 'BA6', please enter the relevant factor proportion (0 to 1) of secondary EAL2 for the new school.

In cell 'BB6', please enter the relevant factor proportion (0 to 1) of secondary EAL3 for the new school.

In cell 'BC6', please enter the relevant factor proportion (0 to 1) of looked after children (LAC—see Annex B) for the new school.

In cell 'BD6', please enter the relevant factor proportion (0 to 1) of low prior attainment (LPA — see Annex B) under the early years foundation stage profile (EYFSP—see Annex B) for the new school. The local authority average for year 2 is provided in cell 'BD2'.

In cell 'BE6', please enter the relevant factor proportion (0 to 1) of secondary year group 7 LPA for the new school. The local authority average for year 8 is provided in cell 'BE2'.

In cell 'BF6', please enter the relevant factor proportion (0 to 1) of secondary year group 8 LPA for the new school.

In cell 'BG6', please enter the relevant factor proportion (0 to 1) of secondary year group 9 LPA for the new school.

In cell 'BH6', please enter the relevant factor proportion (0 to 1) of secondary year group 10 LPA for the new school.

In cell 'BI6', please enter the relevant factor proportion (0 to 1) of secondary year group 11 LPA for the new school.

In cell 'BJ6', please enter the relevant factor proportion (0 to 1) of primary mobility (see Annex B) for the new school.

In cell 'BK6', please enter the relevant factor proportion (0 to 1) of secondary mobility for the new school.

In cell 'BL6', please enter the average distance (in miles) to the second nearest primary school from the new school.

In cell 'BM6', please enter the average distance (in miles) to the second nearest secondary school from the new school.

Note: for the sparsity funding, all middle and all-through schools are recorded in the secondary column.

In cell 'BN6', enter 'Yes' where estimated pupil numbers have been entered into columns 'R' to 'AC' for the new school.

The default entry will be 'No' as generally the figure should reflect the actual pupil numbers expected at the school during the next year. However, it is understood that in some instances local authorities may provide a guaranteed level of funding based on their assessment of the number of pupils needed in particular year groups to make the new school viable. These estimated pupil numbers include an element of diseconomy costs. Therefore, if this is the case, please ensure that you select 'Yes' in cell 'BN6'.

If no entries (other than '0') have been made into columns 'R' to 'AC' then cell 'BN6' should be left blank.

In cell 'BO6', please enter a narrative for the addition of the new school.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect part-year attendance of the pupils at the new school, then:

- in cell 'BP6', enter 'Yes'
- in cell 'BQ6', enter 'No'
- in cell 'BR6', enter the number of months during the financial year the pupils will attend the new school (if you record these figures as days or weeks, please convert the amount to months)

We recommend entering these values as formulas. For example, if the pupils were present for 100 days then enter  $=100/365$ . This ensures that the proportion is not rounded.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect multiple changes during the year, then:

- leave cell 'BP6' blank
- in cell 'BQ6', enter 'Yes'
- leave cell 'BR6' blank

In this instance, please ensure you provide as much detail as possible in the comments, to enable ESFA to calculate the correct academic year pupil numbers.

In cell 'BS6', please enter the total (sum of primary and secondary) academic year NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BT6', please enter the academic year primary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BU6', please enter the academic year secondary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

You will observe that columns 'BW' to 'CU' have now been populated to calculate the total number on roll during the 2021 to 2022 academic year for the new school.

The academic year pupil numbers and the adjusted numbers are not used in any further calculations in the APT and are for validation purposes only.

Once all required cells in the 'Inputs & adjustments' worksheet have been populated, you need to enter the proportion of the 2021 to 2022 financial year for which the new school will be open. Enter this into column 'O' of the 'Local factors' worksheet.

Note: this figure will be given as 1.00 (indicating that the school is open for the whole of the year) by default, unless changed.

## **Amalgamation of schools by 1 April 2021**

In cell 'A6', please select 'amalgamation of schools by 1 April 2021' from the drop-down menu.

Please select this option if 2 or more academies have been amalgamated before or on 1 April 2021. This option should also be used where 2 or more maintained schools have been amalgamated into a maintained school before or on 1 April 2021.

Do not select this option to record mergers of an academy and a maintained school or 2 or more maintained schools into an academy, as there is another drop-down selection to record this.

In cell 'B6', please enter the first predecessor school's local authority establishment number (LAEstab). It is essential that the predecessor LAEstab is entered and is correct, so that the duplicate school does not appear in the lists in the subsequent worksheets of the APT.

In cell 'C6', please enter the second predecessor school's LAEstab (ensuring that it is correct).

In cell 'D6', please enter the third predecessor school's LAEstab (ensuring that it is correct).

In cell 'F6', please enter the unique reference number (URN) of the resulting school, even if the resulting school is keeping the URN of one of the existing schools (or enter a temporary number).

In cell 'G6', please enter the LAEstab of the resulting school, even if the resulting school is keeping the LAEstab of one of the existing schools (if this is not known, please create a temporary one).

Note: when inputting the data into columns 'K' to 'BK' for the resulting school, it is important that none of the cells are left blank. This is to ensure that the APT's calculations of the school's allocations are based on all relevant data. This is particularly critical if the resulting school has kept the LAEstab of one of its predecessors, as if there are any blank cells in columns 'K' to 'BK', the APT will use the predecessor's data from the 'Schools Block Data' worksheet.

For resulting schools with new LAEstabs, blank cells will be treated as zero.

In cell 'H6', please provide the new school's name.

In cell 'I6', please select the new school's 'phase' from the drop-down list.

In cell 'J6', please select the resulting academy type.

In cell 'K6', please select whether the new school falls in the London fringe:

- No = '1'
  - Yes = '1.0156360164'
- or
- the alternative value representing the area cost adjustment (ACA) differential:

Local authority	Multiplier
Buckinghamshire	1.0176
Essex	1.0339
Hertfordshire	1.0306
Kent	1.0368
West Sussex	1.0569

Middle schools only: in cell 'L6', please select the number of primary year groups in the new school (this is used to calculate the lump sum). Note that if you leave this cell blank for a middle school, that school will be not given a lump sum.

Middle schools only: in cell 'M6', please select the number of secondary year groups in the new school (this is used to calculate the lump sum). Note that if you leave this cell blank for a middle school, that school will not be given a lump sum.

All schools (including middle schools): in cell 'N6', please select the number of primary year groups in the new school.

All schools (including middle schools): in cell 'O6', please select the number of secondary year groups in the new school.

In cell 'P6', please select the number of key stage 3 (KS3) groups in the new school. This is used to calculate the minimum per-pupil level of funding (MPPL).

In cell 'Q6', please select the number of key stage 4 (KS4) groups in the new school (this is used to calculate the MPPL).

In cell 'R6', please enter the total (sum of primary and secondary) number on roll (NOR) at the new school as per the October census.

In cell 'S6', please enter the primary NOR at the new school as per the October census.

In cell 'T6', please enter the reception NOR at the new school as per the October census.

Note: this figure does not include reception uplift.

In cell 'U6', please enter the total NOR of year groups 1 to 6 at the new school as per the October census.

Note: This figure will only be used for the calculation of the eligible proportion of pupils for the primary low prior attainment (LPA) factor.

In cell 'V6', please enter the total secondary NOR (sum of KS3 and KS4) at the new school as per the October census.

In cell 'W6', please enter the total KS3 NOR (sum of year groups 7, 8 and 9) at the new school as per the October census.

In cell 'X6', please enter the total KS4 NOR (sum of year groups 10 and 11) at the new school as per the October census.

In cell 'Y6', please enter the year group 7 NOR at the new school as per the October census.

In cell 'Z6', please enter the year group 8 NOR at the new school as per the October census.

In cell 'AA6', please enter the year group 9 NOR at the new school as per the October census.

In cell 'AB6', please enter the year group 10 NOR at the new school as per the October census.

In cell 'AC6', please enter the year group 11 NOR at the new school as per the October census.

In cell 'AD6', please enter the number of additional reception pupils at the new school between October and January that have been determined through the reception uplift calculation (see Annex B). This figure is not included in the 'NOR reception' figure (column 'T').

Note: please enter '0' if there is a decrease.

In cell 'AE6', please enter the relevant factor proportion (0 to 1) of primary free school meals (FSM—see Annex B) for the new school.

In cell 'AF6', please enter the relevant factor proportion (0 to 1) of primary free school meals Ever 6 (FSM6—see Annex B) for the new school.

In cell 'AG6', please enter the relevant factor proportion (0 to 1) of secondary FSM for the new school.

In cell 'AH6', please enter the relevant factor proportion (0 to 1) of secondary FSM6 for the new school.

In cell 'AI6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band G (see Annex B) for the new school.

In cell 'AJ6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band F (see Annex B) for the new school.

In cell 'AK6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band E (see Annex B) for the new school.

In cell 'AL6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band D (see Annex B) for the new school.

In cell 'AM6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band C (see Annex B) for the new school.

In cell 'AN6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band B (see Annex B) for the new school.

In cell 'AO6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band A (see Annex B) for the new school.

In cell 'AP6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band G for the new school.

In cell 'AQ6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band F for the new school.

In cell 'AR6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band E for the new school.

In cell 'AS6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band D for the new school.

In cell 'AT6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band C for the new school.

In cell 'AU6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band B for the new school.

In cell 'AV6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band A for the new school.

In cell 'AW6', please enter the relevant factor proportion (0 to 1) of primary English as an additional language for pupils in their first year in the English education system (EAL1—see Annex B) for the new school.

In cell 'AX6', please enter the relevant factor proportion (0 to 1) of primary EAL2 for the new school (for pupils in their second year in the English education system).

In cell 'AY6', please enter the relevant factor proportion (0 to 1) of primary EAL3 for the new school (for pupils in their third year in the English education system).

In cell 'AZ6', please enter the relevant factor proportion (0 to 1) of secondary EAL1 for the new school.

In cell 'BA6', please enter the relevant factor proportion (0 to 1) of secondary EAL2 for the new school.

In cell 'BB6', please enter the relevant factor proportion (0 to 1) of secondary EAL3 for the new school.

In cell 'BC6', please enter the relevant factor proportion (0 to 1) of looked after children (LAC—see Annex B) for the new school.

In cell 'BD6', please enter the relevant factor proportion (0 to 1) of low prior attainment (LPA — see Annex B) under the new early years foundation stage profile (EYFSP—see Annex B) for the new school.

In cell 'BE6', please enter the relevant factor proportion (0 to 1) of secondary year group 7 LPA for the new school.

In cell 'BF6', please enter the relevant factor proportion (0 to 1) of secondary year group 8 LPA for the new school.

In cell 'BG6', please enter the relevant factor proportion (0 to 1) of secondary year group 9 LPA for the new school.

In cell 'BH6', please enter the relevant factor proportion (0 to 1) of secondary year group 10 LPA for the new school.

In cell 'BI6', please enter the relevant factor proportion (0 to 1) of secondary year group 11 LPA for the new school.

In cell 'BJ6', please enter the relevant factor proportion (0 to 1) of primary mobility (see Annex B) for the new school.

In cell 'BK6', please enter the relevant factor proportion (0 to 1) of secondary mobility for the new school.

In cell 'BL6', please enter the average distance (in miles) to the second nearest primary school from the new school.

In cell 'BM6', please enter the average distance (in miles) to the second nearest secondary school from the new school.

Note: for the sparsity funding, all middle and all-through schools are recorded in the secondary column.

In cell 'BN6', enter 'Yes' where estimated pupil numbers have been entered into columns 'R' to 'AC' for the new school.

The default entry will be 'No' as generally the figure should reflect the actual pupil numbers expected at the school during the next year. However, it is understood that in some instances local authorities may provide a guaranteed level of funding based on their assessment of the number of pupils needed in particular year groups to make the new school viable. These estimated pupil numbers include an element of diseconomy costs. Therefore, if this is the case, please ensure that you select 'Yes' in cell 'BN6'.

If no entries (other than '0') have been made into columns 'R' to 'AC' then cell 'BN6' should be left blank.

In cell 'BO6', please enter a narrative for the addition of the new school.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect part-year attendance of the pupils at the new school, then:

- in cell 'BP6', enter 'Yes'
- in cell 'BQ6', enter 'No'
- in cell 'BR6', enter the number of months during the financial year the pupils will attend the new school (if you record these figures as days or weeks, please convert the amount to months)

We recommend entering these values as formulas.

For example, if the pupils were present for 100 days then enter  $=100/365$ . This ensures that the proportion is not rounded.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect multiple changes during the year, then:

- leave cell 'BP6' blank
- in cell 'BQ6', enter 'Yes'
- leave cell 'BR6' blank

In this instance, please ensure you provide as much detail as possible in the comments to enable ESFA to calculate the correct academic year pupil numbers.

In cell 'BS6', please enter the total (sum of primary and secondary) academic year NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BT6', please enter the academic year primary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BU6', please enter the academic year secondary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

You will notice that columns 'BW' to 'CU' have now been populated to calculate the total number on roll during the 2021 to 2022 academic year for the new school.

The academic year pupil numbers and the adjusted numbers are not used in any further calculations in the APT and are for validation purposes only.

## Change in pupil numbers/factors

In cell 'A6', please select 'change in pupil numbers/factors' from the drop-down menu.

Please select this option where a school is shown in the 'Schools block data' worksheet that is due to be funded for all or part of 2020 to 2021, but either:

- the number on roll (NOR) has changed since the October census
- the proportion for one or more of the indicators have changed since the October census, compared to the prepopulated data.

Note that ESFA approval is required for any variations in the NOR except for:

- new and growing schools, where estimated numbers are required by regulations
- when a local authority wishes to increase the numbers for a school whose admission limit has increased or where there has been a reorganisation

Further guidance on the circumstances under which local authorities can amend the pupil numbers or factor data for a school are given in Annex D.

Note: (with the exception of London fringe) although a number of cells turn blue to denote an entry is required, input is only required if a change is to be recorded. The APT's formulae in the subsequent worksheets will automatically pick up the relevant data from the 'Schools Block Data' worksheet if no entry is made.

In cell 'F6', please enter the unique reference number (URN) of the affected school.

In cell 'G6', please enter the local authority establishment number (LAEstab) of the affected school.

In cell 'H6', please provide the affected school's name.

In cell 'I6', please select the affected school's phase.

In cell 'J6', please select the resulting academy type.

In cell 'K6', please select whether the affected school falls in the London fringe (an input must be made here, even if no change is required):

- No = '1'
- Yes = '1.0156360164'

or

- the alternative value representing the area cost adjustment (ACA) differential, as shown below:

Local authority	Multiplier
Buckinghamshire	1.0176
Essex	1.0339
Hertfordshire	1.0306
Kent	1.0368
West Sussex	1.0569

Middle schools only: in cell 'L6', please select the number of primary year groups in the new school (this is used to calculate the lump sum).

Middle schools only: in cell 'M6', please select the number of secondary year groups in the new school (this is used to calculate the lump sum).

All schools (including middle schools): in cell 'N6', please select the number of primary year groups in the new school.

All schools (including middle schools): in cell 'O6', please select the number of secondary year groups in the new school.

In cell 'P6', please select the number of key stage 3 (KS3) groups in the new school This is used to calculate the minimum per-pupil level of funding (MPPL).

In cell 'Q6', please select the number of key stage 4 (KS4) groups in the new school (this is used to calculate the MPPL).

In cell 'R6', please enter the total (sum of primary and secondary) number on roll (NOR) at the new school as per the October census.

In cell 'S6', please enter the primary NOR at the new school as per the October census.

In cell 'T6', please enter the reception NOR (if applicable) at the affected school as per the October census (unless estimates have been used for new or growing schools).

Note: this figure does not include reception uplift.

In cell 'U6', please enter the total NOR of year groups 1 to 6 at the new school as per the October census.

Note: this figure will only be used for the calculation of the eligible proportion of pupils for the primary low prior attainment (LPA) factor.

In cell 'V6', please enter the total secondary NOR (sum of KS3 and KS4) at the new school as per the October census.

In cell 'W6', please enter the total KS3 NOR (sum of year groups 7, 8 and 9) at the new school as per the October census.

In cell 'X6', please enter the total KS4 NOR (sum of year groups 10 and 11) at the new school as per the October census.

In cell 'Y6', please enter the year group 7 NOR at the new school as per the October census.

In cell 'Z6', please enter the year group 8 NOR at the new school as per the October census.

In cell 'AA6', please enter the year group 9 NOR at the new school as per the October census.

In cell 'AB6', please enter the year group 10 NOR at the new school as per the October census.

In cell 'AC6', please enter the year group 11 NOR at the new school as per the October census.

In cell 'AD6', please enter the number of additional reception pupils at the new school between October and January that have been determined through the reception uplift calculation (see Annex B). This figure is not included in the 'NOR reception' figure (column 'T').

Note: please enter '0' if there is a decrease.

In cell 'AE6', please enter the relevant factor proportion (0 to 1) of primary free school meals (FSM—see Annex B) for the new school.

In cell 'AF6', please enter the relevant factor proportion (0 to 1) of primary free school meals Ever 6 (FSM6—see Annex B) for the new school.

In cell 'AG6', please enter the relevant factor proportion (0 to 1) of secondary FSM for the new school.

In cell 'AH6', please enter the relevant factor proportion (0 to 1) of secondary FSM6 for the new school.

In cell 'AI6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band G (see Annex B) for the new school.

In cell 'AJ6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band F (see Annex B) for the new school.

In cell 'AK6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band E (see Annex B) for the new school.

In cell 'AL6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band D (see Annex B) for the new school.

In cell 'AM6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band C (see Annex B) for the new school.

In cell 'AN6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band B (see Annex B) for the new school.

In cell 'AO6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band A (see Annex B) for the new school.

In cell 'AP6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band G for the new school.

In cell 'AQ6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band F for the new school.

In cell 'AR6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band E for the new school.

In cell 'AS6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band D for the new school.

In cell 'AT6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band C for the new school.

In cell 'AU6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band B for the new school.

In cell 'AV6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band A for the new school.

In cell 'AW6', please enter the relevant factor proportion (0 to 1) of primary English as an additional language for pupils in their first year in the English education system (EAL1—see Annex B) for the new school.

In cell 'AX6', please enter the relevant factor proportion (0 to 1) of primary EAL2 for the new school (for pupils in their second year in the English education system).

In cell 'AY6', please enter the relevant factor proportion (0 to 1) of primary EAL3 for the new school (for pupils in their third year in the English education system).

In cell 'AZ6', please enter the relevant factor proportion (0 to 1) of secondary EAL1 for the new school.

In cell 'BA6', please enter the relevant factor proportion (0 to 1) of secondary EAL2 for the new school.

In cell 'BB6', please enter the relevant factor proportion (0 to 1) of secondary EAL3 for the new school.

In cell 'BC6', please enter the relevant factor proportion (0 to 1) of looked after children (LAC—see Annex B) for the new school.

In cell 'BD6', please enter the relevant factor proportion (0 to 1) of low prior attainment (LPA — see Annex B) under the new early years foundation stage profile (EYFSP—see Annex B) for the new school.

In cell 'BE6', please enter the relevant factor proportion (0 to 1) of secondary year group 7 LPA for the new school.

In cell 'BF6', please enter the relevant factor proportion (0 to 1) of secondary year group 8 LPA for the new school.

In cell 'BG6', please enter the relevant factor proportion (0 to 1) of secondary year group 9 LPA for the new school.

In cell 'BH6', please enter the relevant factor proportion (0 to 1) of secondary year group 10 LPA for the new school.

In cell 'BI6', please enter the relevant factor proportion (0 to 1) of secondary year group 11 LPA for the new school.

In cell 'BJ6', please enter the relevant factor proportion (0 to 1) of primary mobility (see Annex B) for the new school.

In cell 'BK6', please enter the relevant factor proportion (0 to 1) of secondary mobility for the new school.

In cell 'BL6', please enter the average distance (in miles) to the second nearest primary school from the new school.

In cell 'BM6', please enter the average distance (in miles) to the second nearest secondary school from the new school.

Note: for the sparsity funding, all middle and all-through schools are recorded in the secondary column.

In cell 'BN6', enter 'Yes' where estimated pupil numbers have been entered into columns 'R' to 'AC' for the new school.

The default entry will be 'No' as generally the figure should reflect the actual pupil numbers expected at the school during the next year. However, it is understood that in some instances local authorities may provide a guaranteed level of funding based on their assessment of the number of pupils needed in particular year groups to make the new school viable. These estimated pupil numbers include an element of diseconomy costs. Therefore, if this is the case, please ensure that you select 'Yes' in cell 'BN6'.

If no entries (other than '0') have been made into columns 'R' to 'AC' then cell 'BN6' should be left blank.

In cell 'BO6', please enter a narrative for the addition of the new school.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect part-year attendance of the pupils at the new school, then:

- in cell 'BP6', enter 'Yes'
- in cell 'BQ6', enter 'No'
- in cell 'BR6', enter the number of months during the financial year the pupils will attend the new school (if you record these figures as days or weeks, please convert the amount to months)

We recommend entering these values as formulas. For example, if the pupils were present for 100 days then enter =100/365. This ensures that the proportion is not rounded.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect multiple changes during the year, then:

- leave cell 'BP6' blank
- in cell 'BQ6', enter 'Yes'
- leave cell 'BR6' blank

In this instance, please ensure you provide as much detail as possible in the comments to enable ESFA to calculate the correct academic year pupil numbers.

In cell 'BS6', please enter the total (sum of primary and secondary) academic year NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BT6', please enter the academic year primary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BU6', please enter the academic year secondary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

You will notice that columns 'BW' to 'CU' have now been populated to calculate the total number on roll during the 2021 to 2022 academic year for the new school.

The academic year pupil numbers and the adjusted numbers are not used in any further calculations in the APT and are for validation purposes only.

## **Conversion to academy status prior to 4 January 2021**

In cell 'A6', please select 'conversion to academy status prior to 4 January 2021' from the drop-down menu.

Please select this option to record:

- a school that has converted to academy status prior to 4 January 2021
- the merger of 2 or more maintained schools into an academy
- a merger of an academy and a maintained school

If you also need to record a change in pupil numbers or factors for the converter (compared to the predecessor), you should enter the new data in this line.

All academies converting from 4 January 2021 onwards must be shown throughout the worksheet as the predecessor school. Academy conversions expected after this date should not be recorded as such in the 'Inputs & Adjustments' worksheet.

In cell 'B6', please enter the first predecessor school's local authority establishment number (LAEstab). It is essential that the predecessor LAEstab is entered and is correct so that the school concerned does not appear in the lists in the subsequent worksheets, and to prevent schools appearing twice.

In cell 'C6', please enter the second predecessor school's LAEstab (ensuring that it is correct).

In cell 'D6', please enter the third predecessor school's LAEstab (ensuring that it is correct).

In cell 'F6', please enter the unique reference number (URN) of the new academy (if this is not known, please create a temporary one).

In cell 'G6', please enter the LAEstab of the new academy (if this is not known, please create a temporary one).

In cell 'H6', please provide the new academy's name.

Note: with the exception of London fringe (see step 301 below) although a number of cells turn blue to denote an entry is required, input is only required if the academy has changed LAEstab or if both:

- the new academy has kept the same LAEstab
- a change is to be recorded

The APT's formulae in the subsequent worksheets will automatically pick up the relevant data from the 'Schools Block Data' worksheet if the same LAEstab is used and no entry is made.

The columns in the 'Inputs & Adjustments' and the 'Schools Block Data' worksheets are in the same order. Therefore, in the instance of a new LAEstab you can copy the data from columns 'F' to 'BH' of the 'Schools Block Data' worksheet and paste this into columns 'K' to 'BM' of the 'Inputs & adjustments' worksheet.

In cell 'I6', please select the new academy's 'phase'.

In cell 'J6', please select the new 'academy type'.

In cell 'K6', please select whether the new academy falls in the London fringe:

- no = '1'
- yes = '1.0156360164'

or

- the alternative value representing the area cost adjustment (ACA) differential, as shown below:

Local authority	Multiplier
Buckinghamshire	1.0176
Essex	1.0339
Hertfordshire	1.0306
Kent	1.0368
West Sussex	1.0569

Middle schools only: in cell 'L6', please select the number of primary year groups in the new school (this is used to calculate the lump sum). Note that if you leave this cell blank for a middle school, that school will be not given a lump sum.

Middle schools only: in cell 'M6', please select the number of secondary year groups in the new school (this is used to calculate the lump sum). Note that if you leave this cell blank for a middle school, that school will not be given a lump sum.

All schools (including middle schools): in cell 'N6', please select the number of primary year groups in the new school.

All schools (including middle schools): in cell 'O6', please select the number of secondary year groups in the new school.

In cell 'P6', please select the number of key stage 3 (KS3) groups in the new school. This is used to calculate the minimum per-pupil level of funding (MPPL).

In cell 'Q6', please select the number of key stage 4 (KS4) groups in the new school (this is used to calculate the MPPL).

In cell 'R6', please enter the total (sum of primary and secondary) number on roll (NOR) at the new school as per the October census.

In cell 'S6', please enter the primary NOR at the new school as per the October census.

In cell 'T6', please enter the reception NOR (if applicable) at the affected school as per the October census (unless estimates have been used for new or growing schools).

Note: this figure does not include reception uplift.

In cell 'U6', please enter the total NOR of year groups 1 to 6 at the new school as per the October census.

Note: this figure will only be used for the calculation of the eligible proportion of pupils for the primary low prior attainment (LPA) factor.

In cell 'V6', please enter the total secondary NOR (sum of KS3 and KS4) at the new school as per the October census.

In cell 'W6', please enter the total KS3 NOR (sum of year groups 7, 8 and 9) at the new school as per the October census.

In cell 'X6', please enter the total KS4 NOR (sum of year groups 10 and 11) at the new school as per the October census.

In cell 'Y6', please enter the year group 7 NOR at the new school as per the October census.

In cell 'Z6', please enter the year group 8 NOR at the new school as per the October census.

In cell 'AA6', please enter the year group 9 NOR at the new school as per the October census.

In cell 'AB6', please enter the year group 10 NOR at the new school as per the October census.

In cell 'AC6', please enter the year group 11 NOR at the new school as per the October census.

In cell 'AD6', please enter the number of additional reception pupils at the new school between October and January that have been determined through the reception uplift calculation (see Annex B). This figure is not included in the 'NOR reception' figure (column 'T').

Note: please enter '0' if there is a decrease.

In cell 'AE6', please enter the relevant factor proportion (0 to 1) of primary free school meals (FSM—see Annex B) for the new school.

In cell 'AF6', please enter the relevant factor proportion (0 to 1) of primary free school meals Ever 6 (FSM6—see Annex B) for the new school.

In cell 'AG6', please enter the relevant factor proportion (0 to 1) of secondary FSM for the new school.

In cell 'AH6', please enter the relevant factor proportion (0 to 1) of secondary FSM6 for the new school.

In cell 'AI6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band G (see Annex B) for the new school.

In cell 'AJ6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band F (see Annex B) for the new school.

In cell 'AK6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band E (see Annex B) for the new school.

In cell 'AL6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band D (see Annex B) for the new school.

In cell 'AM6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band C (see Annex B) for the new school.

In cell 'AN6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band B (see Annex B) for the new school.

In cell 'AO6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band A (see Annex B) for the new school.

In cell 'AP6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band G for the new school.

In cell 'AQ6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band F for the new school.

In cell 'AR6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band E for the new school.

In cell 'AS6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band D for the new school.

In cell 'AT6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band C for the new school.

In cell 'AU6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band B for the new school.

In cell 'AV6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band A for the new school.

In cell 'AW6', please enter the relevant factor proportion (0 to 1) of primary English as an additional language for pupils in their first year in the English education system (EAL1—see Annex B) for the new school.

In cell 'AX6', please enter the relevant factor proportion (0 to 1) of primary EAL2 for the new school (for pupils in their second year in the English education system).

In cell 'AY6', please enter the relevant factor proportion (0 to 1) of primary EAL3 for the new school (for pupils in their third year in the English education system).

In cell 'AZ6', please enter the relevant factor proportion (0 to 1) of secondary EAL1 for the new school.

In cell 'BA6', please enter the relevant factor proportion (0 to 1) of secondary EAL2 for the new school.

In cell 'BB6', please enter the relevant factor proportion (0 to 1) of secondary EAL3 for the new school.

In cell 'BC6', please enter the relevant factor proportion (0 to 1) of looked after children (LAC—see Annex B) for the new school.

In cell 'BD6', please enter the relevant factor proportion (0 to 1) of low prior attainment (LPA — see Annex B) under the new early years foundation stage profile (EYFSP—see Annex B) for the new school.

In cell 'BE6', please enter the relevant factor proportion (0 to 1) of secondary year group 7 LPA for the new school.

In cell 'BF6', please enter the relevant factor proportion (0 to 1) of secondary year group 8 LPA for the new school.

In cell 'BG6', please enter the relevant factor proportion (0 to 1) of secondary year group 9 LPA for the new school.

In cell 'BH6', please enter the relevant factor proportion (0 to 1) of secondary year group 10 LPA for the new school.

In cell 'BI6', please enter the relevant factor proportion (0 to 1) of secondary year group 11 LPA for the new school.

In cell 'BJ6', please enter the relevant factor proportion (0 to 1) of primary mobility (see Annex B) for the new school.

In cell 'BK6', please enter the relevant factor proportion (0 to 1) of secondary mobility for the new school.

In cell 'BL6', please enter the average distance (in miles) to the second nearest primary school from the new school.

In cell 'BM6', please enter the average distance (in miles) to the second nearest secondary school from the new school.

Note: for the sparsity funding, all middle and all-through schools are recorded in the secondary column.

In cell 'BN6', enter 'Yes' where estimated pupil numbers have been entered into columns 'R' to 'AC' for the new school.

The default entry will be 'No' as generally the figure should reflect the actual pupil numbers expected at the school during the next year. However, it is understood that in some instances local authorities may provide a guaranteed level of funding based on their assessment of the number of pupils needed in particular year groups to make the new school viable. These estimated pupil numbers include an element of diseconomy costs. Therefore, if this is the case, please ensure that you select 'Yes' in cell 'BN6'.

If no entries (other than '0') have been made into columns 'R' to 'AC' then cell 'BN6' should be left blank.

In cell 'BO6', please enter a narrative for the addition of the new school.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect part-year attendance of the pupils at the new school, then:

- in cell 'BP6', enter 'Yes'
- in cell 'BQ6', enter 'No'
- in cell 'BR6', enter the number of months during the financial year the pupils will attend the new school (if you record these figures as days or weeks, please convert the amount to months)

We recommend entering these values as formulas. For example, if the pupils were present for 100 days then enter  $=100/365$ . This ensures that the proportion is not rounded.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect multiple changes during the year, then:

- leave cell 'BP6' blank
- in cell 'BQ6', enter 'Yes'
- leave cell 'BR6' blank

In this instance, please ensure you provide as much detail as possible in the comments to enable ESFA to calculate the correct academic year pupil numbers.

In cell 'BS6', please enter the total (sum of primary and secondary) academic year NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BT6', please enter the academic year primary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BU6', please enter the academic year secondary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

You will notice that columns 'BW' to 'CU' have now been populated to calculate the total number on roll during the 2021 to 2022 academic year for the new school.

The academic year pupil numbers and the adjusted numbers are not used in any further calculations in the APT and are for validation purposes only.

## **New academy or free school opening**

In cell 'A6', please select 'New academy/free school' from the drop-down menu.

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.

In cell 'F6', please enter the Unique Reference Number (URN) of the new academy/free school (if this is not known, please create a temporary one).

In cell 'G6', please enter the local authority establishment number (LAEstab) of the new academy/free school (if this is not known, please create a temporary one).

In cell 'H6', please provide the new academy/free school's name.

In cell 'I6', please select the new academy/free school's 'phase'.

In cell 'J6', please select the 'academy type'.

In cell 'K6', please select whether the new academy/free school falls in the London fringe:

- no = '1'
- yes = '1.0156360164'

or

- the alternative value representing the area cost adjustment (ACA) differential, as shown below:

<b>Local authority</b>	<b>Multiplier</b>
Buckinghamshire	1.0176
Essex	1.0339
Hertfordshire	1.0306
Kent	1.0368
West Sussex	1.0569

Middle schools only: in cell 'L6', please select the number of primary year groups in the new school (this is used to calculate the lump sum). Note that if you leave this cell blank for a middle school, that school will not be given a lump sum.

Middle schools only: in cell 'M6', please select the number of secondary year groups in the new school (this is used to calculate the lump sum). Note that if you leave this cell blank for a middle school, that school will not be given a lump sum.

All schools (including middle schools): in cell 'N6', please select the number of primary year groups in the new school.

All schools (including middle schools): in cell 'O6', please select the number of secondary year groups in the new school.

In cell 'P6', please select the number of key stage 3 (KS3) groups in the new school. This is used to calculate the minimum per-pupil level of funding (MPPL).

In cell 'Q6', please select the number of key stage 4 (KS4) groups in the new school (this is used to calculate the MPPL).

In cell 'R6', please enter the total (sum of primary and secondary) number on roll (NOR) at the new school as per the October census.

In cell 'S6', please enter the primary NOR at the new school as per the October census.

In cell 'T6', please enter the reception NOR at the affected school as per the October census (unless estimates have been used for new or growing schools).

Note: this figure does not include reception uplift.

In cell 'U6', please enter the total NOR of year groups 1 to 6 at the new school as per the October census.

Note: this figure will only be used for the calculation of the eligible proportion of pupils for the primary low prior attainment (LPA) factor.

In cell 'V6', please enter the total secondary NOR (sum of KS3 and KS4) at the new school as per the October census.

In cell 'W6', please enter the total KS3 NOR (sum of year groups 7, 8 and 9) at the new school as per the October census.

In cell 'X6', please enter the total KS4 NOR (sum of year groups 10 and 11) at the new school as per the October census.

In cell 'Y6', please enter the year group 7 NOR at the new school as per the October census.

In cell 'Z6', please enter the year group 8 NOR at the new school as per the October census.

In cell 'AA6', please enter the year group 9 NOR at the new school as per the October census.

In cell 'AB6', please enter the year group 10 NOR at the new school as per the October census.

In cell 'AC6', please enter the year group 11 NOR at the new school as per the October census.

In cell 'AD6', please enter the number of additional reception pupils at the new school between October and January that have been determined through the reception uplift calculation (see Annex B). This figure is not included in the 'NOR reception' figure (column 'T').

Note: please enter '0' if there is a decrease.

In cell 'AE6', please enter the relevant factor proportion (0 to 1) of primary free school meals (FSM—see Annex B) for the new school.

In cell 'AF6', please enter the relevant factor proportion (0 to 1) of primary free school meals Ever 6 (FSM6—see Annex B) for the new school.

In cell 'AG6', please enter the relevant factor proportion (0 to 1) of secondary FSM for the new school.

In cell 'AH6', please enter the relevant factor proportion (0 to 1) of secondary FSM6 for the new school.

In cell 'AI6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band G (see Annex B) for the new school.

In cell 'AJ6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band F (see Annex B) for the new school.

In cell 'AK6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band E (see Annex B) for the new school.

In cell 'AL6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band D (see Annex B) for the new school.

In cell 'AM6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band C (see Annex B) for the new school.

In cell 'AN6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band B (see Annex B) for the new school.

In cell 'AO6', please enter the relevant factor proportion (0 to 1) of primary IDACI Band A (see Annex B) for the new school.

In cell 'AP6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band G for the new school.

In cell 'AQ6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band F for the new school.

In cell 'AR6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band E for the new school.

In cell 'AS6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band D for the new school.

In cell 'AT6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band C for the new school.

In cell 'AU6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band B for the new school.

In cell 'AV6', please enter the relevant factor proportion (0 to 1) of secondary IDACI Band A for the new school.

In cell 'AW6', please enter the relevant factor proportion (0 to 1) of primary English as an additional language for pupils in their first year in the English education system (EAL1—see Annex B) for the new school.

In cell 'AX6', please enter the relevant factor proportion (0 to 1) of primary EAL2 for the new school (for pupils in their second year in the English education system).

In cell 'AY6', please enter the relevant factor proportion (0 to 1) of primary EAL3 for the new school (for pupils in their third year in the English education system).

In cell 'AZ6', please enter the relevant factor proportion (0 to 1) of secondary EAL1 for the new school.

In cell 'BA6', please enter the relevant factor proportion (0 to 1) of secondary EAL2 for the new school.

In cell 'BB6', please enter the relevant factor proportion (0 to 1) of secondary EAL3 for the new school.

In cell 'BC6', please enter the relevant factor proportion (0 to 1) of looked after children (LAC—see Annex B) for the new school.

In cell 'BD6', please enter the relevant factor proportion (0 to 1) of low prior attainment (LPA — see Annex B) under the early years foundation stage profile (EYFSP—see Annex B) for the new school.

In cell 'BE6', please enter the relevant factor proportion (0 to 1) of secondary year group 7 LPA for the new school.

In cell 'BF6', please enter the relevant factor proportion (0 to 1) of secondary year group 8 LPA for the new school.

In cell 'BG6', please enter the relevant factor proportion (0 to 1) of secondary year group 9 LPA for the new school.

In cell 'BH6', please enter the relevant factor proportion (0 to 1) of secondary year group 10 LPA for the new school.

In cell 'BI6', please enter the relevant factor proportion (0 to 1) of secondary year group 11 LPA for the new school.

In cell 'BJ6', please enter the relevant factor proportion (0 to 1) of primary mobility (see Annex B) for the new school.

In cell 'BK6', please enter the relevant factor proportion (0 to 1) of secondary Mobility, for the new school.

In cell 'BL6', please enter the average distance (in miles) to the second nearest primary school from the new school.

In cell 'BM6', please enter the average distance (in miles) to the second nearest secondary school from the new school.

Note: for the sparsity funding, all middle and all-through schools are recorded in the secondary column.

In cell 'BN6', enter 'Yes' where estimated pupil numbers have been entered into columns 'R' to 'AC' for the new school.

The default entry will be 'No' as generally the figure should reflect the actual pupil numbers expected at the school during the next year. However, it is understood that in some instances local authorities may provide a guaranteed level of funding based on their assessment of the number of pupils needed in particular year groups to make the new school viable. These estimated pupil numbers include an element of diseconomy costs. Therefore, if this is the case, please ensure that you select 'Yes' in cell 'BN6'.

If no entries (other than '0') have been made in columns 'R' to 'AC' then cell 'BN6' should be left blank.

In cell 'BO6', please enter a narrative for the addition of the new school.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect part-year attendance of the pupils at the new school, then:

- in cell 'BP6', enter 'Yes'
- in cell 'BQ6', enter 'No'
- in cell 'BR6', enter the number of months during the financial year the pupils will attend the new school (if you record these figures as days or weeks, please convert the amount to months)

We recommend entering these values as formulas. For example, if the pupils were present for 100 days then enter  $=100/365$ . This ensures that the proportion is not rounded.

If the entries made in any of the columns 'R' to 'AC' have been apportioned to reflect multiple changes during the year, then:

- leave cell 'BP6' blank
- in cell 'BQ6', enter 'Yes'
- leave cell 'BR6' blank

In this instance, please ensure you provide as much detail as possible in the comments to enable ESFA to calculate the correct academic year pupil numbers.

In cell 'BS6', please enter the total (sum of primary and secondary) academic year NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BT6', please enter the academic year primary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

In cell 'BU6', please enter the academic year secondary NOR where apportioned financial year pupil numbers have been entered (columns 'R' to 'AC') for the new school.

You will notice that columns 'BW' to 'CU' have now been populated to calculate the total number on roll during the 2021 to 2022 academic year for the new school.

The academic year pupil numbers and the adjusted numbers are not used in any further calculations in the APT and are for validation purposes only.

Once all required cells in the 'Inputs & Adjustments' worksheet have been populated, you need to enter the proportion of the 2020 to 2021 financial year for which the new school will be open. Enter this into column 'O' of the 'Local Factors' worksheet (see Annex C).

Note: this figure will be given as 1.00 (indicating that the school is open for the whole of the year) by default, unless changed.

Note: you're 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 ESFA recognises 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

In cell 'A6', please select 'Other' from the drop-down menu.

Please select this option for any other reasons, which are not covered by the other selections.

When completing the details for this selection, please consult the guidance which relevant to that which best applies to the circumstances and also the 'comments' in each column heading.

## Local Factors

Once the 'Inputs & Adjustments' worksheet has been edited to reflect any changes to the schools list/details of the schools, you will now need to address any local changes which may apply.

The list of schools (and associated details) as shown in columns 'L', 'M' and 'N' are automatically populated from the data in the Schools Block Data and 'Inputs & Adjustments' worksheets.

Note: do not attempt to add any schools to this sheet. Any changes to the school list need to be recorded using the 'Inputs & Adjustments' worksheet.

Important: before entering any data here, check that the school list shown in columns 'L', 'M' and 'N' display the correct maintained schools and academies expected to be funded in the 2021 to 2022 financial year.

If, after having entered some data in the 'Local Factors' worksheet, you then record further adjustments in the 'Inputs & Adjustments' worksheet, the order of the local factors schools list may have changed but the data you have entered in the 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.

The blue user-input cells in columns 'O', 'P' and 'Q' contain default values, which you will need to change if the default is not correct.

Note: when you select an option from the drop-down list in column or 'Q' one or more cells on that row will automatically change from 'greyed-out' to blue. This denotes that, as you have selected this particular option you will now need to complete the other blue cells on that row. If you omit any information, the calculations in the subsequent worksheets may be incomplete.

Note: the instructions below have been written assuming you are starting at the first input for each scenario, therefore, if this is not the case please use the next available blank row.

Due to the potentially complex nature of the data entry rationale, the criteria and methodology for each column has been separated out from these instructions. These can be found in Annex C. Please refer to the details in Annex C when working through the below steps. In addition, only enter the following when changes are required.

In cell 'O6', this figure should be '1.00' unless the school is opening or closing—in which case you should then enter the proportion of the 2021 to 2022 financial year for which the school will be open.

We recommend you enter this as a formula. For example, if the pupils were present for 100 days then enter  $=100/365$  to prevent rounding of the value.

In cell 'P6', please select from the drop-down list whether the school has opened in the last 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.

In cell 'Q6', please select 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.

Note that, 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.

If you select 'Yes' in this cell, you will note that cells 'R6' to 'V6' now also require an entry.

In cell 'R6', please enter the total number of pre-16 high needs places in 2020 to 2021.

In cell 'S6', please enter the number of primary high needs places in the academic year 2020 to 2021, excluding those pupils who are not registered in that school or are in a nursery class.

In cell 'T6' please enter the number of key stage 3 (KS3) high needs places in the academic year 2020 to 2021, excluding those pupils who are not registered in that school.

In cell 'U6' please enter the number of key stage 4 (KS4) high needs places in the academic year 2020 to 2021, excluding those pupils who are not registered in that school.

In cell 'V6', please select the reason for the variance in 2020 to 2021 place numbers compared to the information previously provided to ESFA (as shown in the '20-21 HN places' worksheet). The reasons are:

- places reserved for pupils not main registered at the school
- places reserved for nursery pupils
- places reserved for post-16 pupils
- new high needs unit opening mid-year
- existing high needs unit closing mid-year
- place numbers updated since the number previously supplied to ESFA
- other

If, you selected 'new high needs unit opening mid-year', 'existing high needs unit closing mid-year' or 'other', please ensure you provide further comments in cell 'AV6'.

In cell 'W6', enter the actual cash value you wish to allocate for split site funding, with the adjustment for part-year funding taken into account.

In cell 'X6', enter the actual rates (see Annex B) payable—after any entitled relief has been applied—with the adjustment for part-year funding taken into account. If this cell is left blank, it will be treated as '0'.

In cell 'Y6', enter any necessary adjustments to account for any difference between the previously estimated 2020 to 2021 rates and the now known actual values (this can be a

positive or negative value). If a value is entered in this cell, please also ensure a narrative is provided in cell 'AV6'.

In cell 'Z6', please enter the actual value payable for 2021 to 2022 private finance initiative (PFI—see Annex B) with the adjustment for part-year funding taken into account. If left blank, it will be treated as '0'.

In cell 'AA6', please enter any necessary adjustments to account for any difference between the previously estimated 2020 to 2021 schools budget shares (SBS) and the now known actual values (this can be a positive or negative value). If a value is entered in this cell, please also ensure a narrative is provided in cell 'AV6'.

In cell 'AB6', please enter the additional lump sum (see Annex B) actual value payable—with the adjustment for part-year funding taken into account—for any schools which have merged during financial year 2020 to 2021.

Must have ESFA pre-approval: in cell 'AC6', please enter the additional sparsity (see Annex B) actual value payable—with the adjustment for part-year funding taken into account—for small space schools only.

In cells 'AD6' to 'AH6', please enter values as specified above.

In cell 'AI6', please enter the total of any entries in cells 'AD6' to 'AH6' not relating to premises costs.

Must have ESFA pre-approval: in cells 'AK6' to 'AO6', please enter values as specified above. All values can be positive or negative.

In cell 'AP6', please enter any newly delegated funding so that it can be excluded from the minimum funding guarantee (MFG) baseline calculation. This value must be a positive value and if left blank it will be treated as '0'.

In cell 'AQ6', if you want to mirror the national funding formula (NFF) please enter the total of all premises costs, excluding rates, to be removed from the MFG calculation.

This value can be a positive or a negative value; however, as it is subtracted from the MFG and school budget shares (SBS) calculations, for a positive adjustment please enter the figure as a negative. Please also ensure that a narrative of the methodology used is provided in cell 'AV6'.

In cells 'AR6' and 'AS6', please enter any further technical adjustments to be removed from the MFG and SBS calculations.

These values can be a positive or a negative value; however, as they are subtracted from the MFG, for a positive adjustment please enter the figure as a negative. Please also ensure that a narrative of the methodology used is provided in cell 'AV6'.

In cell 'AV6', please provide a narrative for all entries made. Give as much detail as possible relating to methodologies, assumptions and rationale.

## Adjusted Factors

This worksheet automatically calculates the adjusted pupil numbers to be used in the final schools budget shares (SBS) calculations, outputted to the 'New ISB' worksheet.

The worksheet uses data drawn from the 'Schools Block Data', 'Inputs & Adjustments' and the 'Local factors' worksheets.

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

## 20-21 final baselines

Now you will need to provide the 2020 to 2021 baseline information, where the data is missing from the '20-21 submitted baselines' worksheet (including where you have added new schools/amalgamations). This is in addition to the 2020 to 2021 minimum funding guarantee (MFG) exclusions and adjustments to be used for the MFG calculations in the 'New ISB' worksheet.

Much of the data in this worksheet is pre-populated and automatically calculated (based upon entries you would have made in the 'Inputs & Adjustments' worksheet), however, there are a few instances where manual input (in the blue cells) may be required.

### Cell 'J6' states '20-21 baseline missing'

In cell 'P6', please enter the 2020 to 2021 number on roll (NOR—excluding the reception uplift figure) and with any adjustment for part-year funding taken into account.

In cell 'Q6', please enter the actual 2020 to 2021 rates (see Annex B) with any adjustments for part-year funding taken into account.

In cell 'R6', please enter the actual 2020 to 2021 post-MFG budget values with any adjustments for part-year funding and/or London fringe taken into account.

In cell 'S6', please enter the total of the TPG and TPECG (see Annex F for details of how to calculate the relevant amounts).

In cell 'V6', please enter the actual fraction for the part of the year 2020 to 2021 that the school was open. We recommend this is entered as a formula to prevent unwanted rounding. For a school that was open for 100 days you should enter =100/365.

In cell 'W6', please enter the adjusted additional lump sum (see Annex B) for schools amalgamating during financial year 2019 to 2020.

In cell 'X6', please provide a narrative for any changes which have been made and the rationale/methodology for these changes.

### **If there has been a change in your baseline figures**

In cell 'P6', please enter the 2020 to 2021 number on roll (NOR—excluding the reception uplift figure) and with any adjustment for part-year funding taken into account.

In cell 'Q6', please enter the actual 2020 to 2021 rates (see Annex B) with any adjustments for part-year funding taken into account.

In cell 'R6', please enter the adjustment to the 2020 to 2021 post-MFG budget values with any adjustments for part-year funding and/or London fringe taken into account.

In cell 'S6', please enter the total of the TPG and TPECG (see Annex F for details of how to calculate the relevant amounts).

In cell 'V6', please enter the actual fraction for the part of the year 2020 to 2021 that the school was open. We recommend this is entered as a formula to prevent unwanted rounding. For example, for a school that was open for 100 days you should enter =100/365.

In cell 'W6', please enter the adjusted additional lump sum (see Annex B) for schools amalgamating during financial year 2019 to 2020.

In cell 'X6', please provide a narrative for any changes which have been made and the rationale/methodology for these changes.

### **Cell 'J6' states 'please fill in columns P to W'**

In cell 'P6', please enter the 2020 to 2021 number on roll (NOR—excluding the reception uplift figure) and with any adjustment for part-year funding taken into account.

In cell 'Q6', please enter the actual 2020 to 2021 rates (see Annex B) with any adjustments for part-year funding taken into account.

In cell 'R6', please enter the adjustment to the 2020 to 2021 post MFG budget values, with any adjustments for part-year funding and/or London fringe taken into account.

In cell 'S6', please enter the total of the TPG and TPECG grants (see Annex F for details of how to calculate the relevant amounts).

In cell 'V6', please enter the actual fraction for the part of the year 2020 to 2021 that the school was open. We recommend this is entered as a formula to prevent unwanted rounding. For a school that was open for 100 days you should enter =100/365.

In cell 'W6', please enter the adjusted additional lump sum (see Annex B) for schools amalgamating during financial year 2019 to 2020.

In cell 'X6', please provide a narrative for any changes which have been made and the rationale/methodology for these changes.

### **Cell 'J6' states 'predecessor LAEstab missing'**

This denotes that details of a school which has converted to academy status before 4 January 2021 has been entered in the 'Inputs & adjustments' worksheet, but the predecessor local authority establishment number (LAEstab) has not been provided in column 'B'.

Please revisit the entry on the 'Inputs & Adjustments' worksheet and ensure an LAEstab is inputted (even if it hasn't changed post-conversion) and then columns 'J' to 'N' of the '20-21 final baselines' worksheet should auto populate with the data.

In cell 'V6', please enter the actual fraction for the part of the year 2020 to 2021 that the school was open. We recommend this is entered as a formula to prevent unwanted rounding. For example, for a school that was open for 100 days you should enter =100/365.

In cell 'W6', please enter the adjusted additional lump sum (see Annex B) for schools amalgamating during financial year 2020 to 2021.

In cell 'X6', please provide a narrative for any changes which have been made and the rationale/methodology for these changes.

### **Cells 'Y6' to 'AE6'**

Must have ESFA pre-approval: in cell 'Y6', please enter any additional (infrastructure related) exceptions to be excluded from the MFG calculations.

This value can be a positive or a negative; however, as it is subtracted from the MFG calculation, for a positive adjustment please enter the figure as a negative. Please also ensure that a narrative is provided in the relative section of the 'Commentary' worksheet.

Must have ESFA pre-approval: in cells 'Z6' to 'AB6', please enter any additional exemptions to be excluded from the MFG calculations.

These values can be a positive or a negative; however, as it is subtracted from the MFG calculation, for a positive adjustment please enter the figure as a negative. Please also ensure that a narrative is provided in the relative section of the 'Commentary' worksheet.

In cell 'AC6', please enter any required technical adjustment relating to looked after children (LAC) funding to be excluded from the MFG calculation. Please also ensure that a narrative is provided in the relative section of the 'Commentary' worksheet.

In cells 'AD6' and 'AE6', please enter any additional technical adjustments to be excluded from the MFG calculation.

These values can be a positive or a negative; however, as it is subtracted from the MFG calculation, for a positive adjustment please enter the figure as a negative. Please also ensure that a narrative is provided in the relative section of the 'Commentary' worksheet.

## Commentary

In this worksheet you'll need to provide a detailed narrative if you have used any of the factors listed below. Specifically, ESFA need to be able to replicate any calculations that you have made so providing precise and detailed methodology is essential.

When providing this detail, please ensure you specify if it relates to a maintained school or an academy.

If you have used a factor elsewhere in the workbook and do not provide comments in the relevant cell of this worksheet, an error will be presented in the 'Validation' worksheet.

## 2020 to 2021 approved MFG exclusions and technical adjustments

In cells 'C4' to 'C10', please provide a detailed narrative, if you have used either:

- '20-21 approved exemption' 1 to 4
- '20-21 technical adjustment' 1 to 3

In cells 'F4' to 'F10', please provide any supporting documentation for entries made in the adjacent cells of column 'C'.

In cells 'G4' to 'G10', please state 'Yes' if the entry made in the adjacent cells of column 'C' relate to 'one-off' funding.

## 2021 to 2022 approved exceptional circumstances

In cells 'C12' to 'C18', please provide a detailed narrative if you have used any of the 'approved exceptional circumstances' 1 to 7.

In cells 'F12' to 'F18', please provide any supporting documentation for entries made in the adjacent cells of column 'C'.

In cells 'G12' to 'G18', please state 'Yes' if the entry made in the adjacent cells of column 'C' relate to 'one-off' funding.

## **2021 to 2022 approved MFG exclusions and technical adjustments**

In cells 'C20' to 'C28', please provide a detailed narrative, if you have used either:

- '21-22 approved exemption' 1 to 5
- '21-22 technical adjustment' 1 to 4

In cells 'F20' to 'F28', please provide any supporting documentation for entries made in the adjacent cells of column 'C' (if applicable).

In cells 'G20' to 'G28', please state 'Yes' if the entry made in the adjacent cells of column 'C' relate to 'one-off' funding.

## **Remainder factors/commentary**

The guidance for the completion of the cells relating to the other factors shown in the workbook (and general explanatory supporting evidence) has been consolidated below as the completion is the same for each. Guidance text is embedded in the 'Commentary' worksheet, if required.

In cells 'C30' to 'C44', please provide a narrative (including methodology, calculations, assumptions) if you have used any of these factors.

In cells 'F30' to 'F44', please provide any supporting documentation for entries made in the adjacent cells of column 'C' (if applicable).

Please note if growth, additional funding from the high needs budget or falling rolls funding is identified, criteria need to be supplied and these amounts should be included in the S251 budget statement in the appropriate lines (1.4.10 Pupil growth, 1.4.5 Falling Rolls Fund or 1.2.4 Additional high needs targeted funding for mainstream schools and academies).

In cells 'G30' to 'G44', please state 'Yes' (if applicable) if the entry made in the adjacent cells of column 'C' relate to 'one-off' funding.

## **Proforma**

The 'Proforma' worksheet is designed for you to enter the high-level unit values for your funding allocation. You will notice that a number of the cells are pre-populated calculation

cells which are influenced by the data you will enter in this worksheet and also data inputted elsewhere in the worksheets.

Once all blue cells have been completed with the required data, you will then be presented with an overview of the local authority's budget.

There are a number of sections which make up the 'Proforma' worksheet and it is likely you will move back and forth to edit the inputted data. However, the following guidance is written in a 'top-down' manner.

Note: a number of cells in the proforma are related and are only populated 'if applicable'. Therefore, although the following guidance may instruct an entry in a specific cell, if that cell is greyed out or not applicable to your local authority (for example, an entry regarding a middle school whereas there are none in the LA) then no data entry is required.

Cell 'D9' will be prepopulated with the minimum per-pupil funding value for primary pupils. Prior approval is required in order to amend this value. Where a change is entered you must complete cell 'L9'.

Cell 'E9' will be prepopulated with the minimum per-pupil funding value for key stage 3 (KS3) pupils. Prior approval is required in order to amend this value. Where a change is entered you must complete cell 'L9'.

Cell 'G9' will be prepopulated with the minimum per-pupil funding value for key stage 4 (KS4) pupils. Prior approval is required in order to amend this value. Where a change is entered you must complete cell 'L9'.

In cell 'L9', if you have altered the values in any of the cells 'D9', 'E9' or 'F9' please enter the reference number of the disapplication request which approved this change.

## **Pupil-led factors**

In cell 'E12', please select from the drop-down list either 'Yes' or 'No' dependant on whether you wish to use reception uplift.

In cell 'E14', please enter the primary (years 1 to 6) age weighted pupil unit (AWPU), amount per pupil value.

In cell 'L14', please enter the primary (years 1 to 6) pupils' notional special educational needs (SEN) value.

In cell 'E15', please enter the KS3 (years 7 to 9) AWPU amount per pupil value.

In cell 'L15', please enter the KS3 (years 7 to 9) pupils notional SEN percentage.

In cell 'E16', please enter the KS4 (years 10 to 11) AWPU amount per pupil value.

In cell 'L16', please enter the KS4 (years 10 to 11) pupils notional SEN value.

In cell 'E18', please enter the primary free school meals (FSM) amount per pupil value.

In cell 'F18', please enter the secondary FSM amount per pupil value.

In cell 'L18', please enter the primary FSM notional SEN percentage.

In cell 'M18', please enter the secondary FSM notional SEN percentage.

In cell 'E19', please enter the primary free school meals Ever 6 (FSM6) amount per pupil value.

In cell 'F19', please enter the secondary FSM6 amount per pupil value.

In cell 'L19', please enter the primary Ever6 notional SEN percentage.

In cell 'M19', please enter the secondary Ever6 notional SEN percentage.

In cell 'E20', please enter the primary IDACI Band F amount per pupil value.

In cell 'F20', please enter the secondary IDACI Band F amount per pupil value.

In cell 'L20', please enter the primary IDACI Band F notional SEN percentage.

In cell 'M20', please enter the secondary IDACI Band F notional SEN percentage.

In cell 'E21', please enter the primary IDACI Band E amount per pupil value.

In cell 'F21', please enter the secondary IDACI Band E amount per pupil value.

In cell 'L21', please enter the primary IDACI Band E notional SEN percentage.

In cell 'M21', please enter the secondary IDACI Band E notional SEN percentage.

In cell 'E22', please enter the primary IDACI Band D amount per pupil value.

In cell 'F22', please enter the secondary IDACI Band D amount per pupil value.

In cell 'L22', please enter the primary IDACI Band D notional SEN percentage.

In cell 'M22', please enter the secondary IDACI Band D notional SEN percentage.

In cell 'E23', please enter the primary IDACI Band C amount per pupil value.

In cell 'F23', please enter the secondary IDACI Band C amount per pupil value.

In cell 'L23', please enter the primary IDACI Band C notional SEN percentage.

In cell 'M23', please enter the secondary IDACI Band C notional SEN percentage.

In cell 'E24', please enter the primary IDACI Band B, amount per pupil value.

In cell 'F24', please enter the secondary IDACI Band B amount per pupil value.

In cell 'L24', please enter the primary IDACI Band B notional SEN percentage.

In cell 'M24', please enter the secondary IDACI Band B notional SEN percentage.

In cell 'E25', please enter the primary IDACI Band A amount per pupil value.

In cell 'F25', please enter the secondary IDACI Band A, amount per pupil value.

In cell 'L25', please enter the primary IDACI Band A notional SEN percentage.

In cell 'M25', please enter the secondary IDACI Band A notional SEN percentage.

In cell 'E27', please enter the looked after children (LAC) amount per pupil value (this is the same for primary and secondary pupils).

In cell 'L28', please enter the LAC notional SEN percentage value (this is a single rate for all pupils).

In cell 'D28', please select the relevant primary English as an additional language (EAL) level (or 'N/A' if this is not being used).

(Dependent upon cell 'D28' selection): in cell 'E28', please enter the primary EAL amount per pupil value.

(Dependent upon cell 'D28' selection): in cell 'L28', please enter the primary EAL notional SEN percentage.

In cell 'D29', please select the relevant secondary EAL level (or 'N/A' if this is not being used).

(Dependent upon cell 'D29' selection): In cell 'E29', please enter the secondary EAL amount per pupil value.

(Dependent upon cell 'D29' selection): In cell 'M29', please enter the secondary EAL notional SEN percentage.

In cell 'E30', please enter the primary mobility amount per pupil value.

In cell 'F30', please enter the secondary mobility amount per pupil value.

In cell 'L30', please enter the primary mobility notional SEN percentage.

In cell 'M30', please enter the secondary mobility notional SEN percentage.

In cell 'F32', please enter the primary low prior attainment (LPA) amount per pupil value.

In cell 'L32', please enter the primary LPA notional SEN percentage.

In cell 'F33', please enter the secondary LPA amount per pupil value.

In cell 'M33', please enter the secondary LPA notional SEN percentage (note that this is the same for all secondary LPA year groups).

## **Other factors**

In cell 'F43', please enter the primary lump sum value.

In cell 'G43', please enter the secondary lump sum value.

In cell 'L43', please enter the primary lump sum notional SEN percentage.

In cell 'M43', please enter the secondary lump sum notional SEN percentage.

In cell 'F44', please enter the primary sparsity factor value.

In cell 'G44', please enter the secondary sparsity factor value.

In cell 'H44', please enter the middle school sparsity factor value.

In cell 'I44', please enter the all-through school sparsity factor value.

In cell 'L44', please enter the primary sparsity factor notional SEN percentage.

In cell 'M44', please enter the secondary sparsity factor notional SEN percentage.

In cell 'D46', please enter the primary sparsity factor distance threshold (miles) value.  
Please leave blank if you want to use the default values.

In cell 'G46', please enter the primary sparsity factor average year group threshold value.  
Please leave blank if you want to use the default values.

In cell 'K46', please select whether you wish to use the 'fixed', 'tapered' or 'NFF' weighting for the primary sparsity factor lump sum.

In cell 'D47', please enter the secondary sparsity factor distance threshold (miles) value.  
Please leave blank if you want to use the default values.

In cell 'G47', please enter the secondary sparsity factor average year group threshold value. Please leave blank if you want to use the default values.

In cell 'K47', please select whether you want to use the 'fixed', 'tapered' or 'NFF' weighting for the secondary sparsity factor lump sum.

In cell 'D48' please enter the middle school sparsity factor distance threshold (miles) value. Please leave blank if you want to use the default values.

In cell 'G48', please enter the middle school sparsity factor average year group threshold value. Please leave blank if you want to use the default values.

In cell 'K48', please select whether you wish to use the 'fixed', 'tapered' or 'NFF' weighting for the middle school sparsity factor lump sum.

In cell 'D49', please enter the all-through sparsity factor distance threshold (miles) value. Please leave blank if you want to use the default values.

In cell 'G49', please enter the all-through sparsity factor average year group threshold value. Please leave blank if you want to use the default values.

In cell 'K49', please select whether you wish to use the 'fixed', 'tapered' or 'NFF' weighting for the all-through sparsity factor lump sum.

In cell 'L51', please enter the split sites notional SEN percentage.

In cell 'L52' please enter the rates notional SEN percentage.

In cell 'L53', please enter the PFI funding notional SEN percentage.

In cells 'L57' to 'L62', please enter the notional SEN percentages for the individual circumstances which relate to entries made in other worksheets.

In cell 'L66', please enter the additional funding to meet the minimum per-pupil funding level notional SEN percentage.

In cell 'H69', please enter the MFG percentage. The value must be between 0.5% and 2%. Values above 2% can be entered but local authorities must have prior approval.

If you have entered a value greater than 2% in cell 'H69' you must provide the relevant disapplication reference in cell 'J70'.

In cell 'J71', please select 'Yes' if you are applying capping and scaling factors (note that gains may be capped above a specific ceiling and/or scaled)— otherwise, please select 'No'.

In cell 'D72', please enter the capping factor percentage.

In cell 'G72', please enter the scaling factor percentage.

In cell 'L76', please enter the minimum funding guarantee (MFG) net total funding (MFG + deductions from capping and scaling) notional SEN percentage.

In cell 'J79', please enter the high needs threshold value. Please only enter if a high needs threshold different to the £6,000 has been approved, exceptionally, by ESFA.

In cell 'J80', please enter the value for any additional funding required from the high needs budget.

In cell 'J81', please enter the growth fund value.

In cell 'J82', please enter the falling rolls fund value.

## Block transfers

This worksheet compares the funding allocated through the APT against the schools block funding allocated in the dedicated schools grant (DSG).

The worksheet also requires users to enter details of any funding transferred out of the schools block to any of the other DSG blocks, and details of any funding transferred into the schools block. When calculating the 0.5% which can be transferred out of the schools block, without schools forum approval, local authorities must discount additional funding identified as 'protected pay and pensions funding' in the NFF and DSG tables.

This calculation is set out from paragraph 251 of the school funding operational guide. If the net funding allocated through the APT is lower than the DSG schools block allocation, less the amount relating to the TPG, TPECG and supplementary grant, details of the following must be provided:

- for transfers of up to 0.5%, excluding funding added to the schools block this year from the TPG and TPECG schools forum approval
- for transfers exceeding 0.5%, excluding funding added to the schools block this year from the TPG and TPECG or if forum approval has not been received, details of the disapplication approving the transfer

In cell 'C5', please enter the local authority's DSG schools block allocation.

In cell 'C6' enter the percentage of the schools block which relates to the protected Teachers' Pay Grant and Teachers' Pension Employer Contribution Grant.

These entries are required as the APT is released before the DSG is finalised.

Note: when the APT is returned, we will add the final DSG figure and the percentage of the schools block which relates to the protected Teachers' Pay Grant and Teachers' Pension Employer Contribution Grant into cells 'I5' and 'I6' to ensure that the correct amount is used in the subsequent calculations.

If no transfers are made during the year, then no further entries are required.

In cell 'C9', please enter the amount of any schools block funding transferred to the DSG central schools services block (CSSB).

In cell 'E9', please enter the details of how this transfer has been calculated (if you have entered a figure into cell 'C7').

In cell 'C10', please enter the amount of any schools block funding transferred to the DSG early years block.

In cell 'E10', please enter the details of how this transfer has been calculated (if you have entered a figure into cell 'C8').

In cell 'C11', please enter the amount of any schools block funding transferred to the DSG high needs block.

In cell 'E11', please enter the details of how this transfer has been calculated (if you have entered a figure into cell 'C9').

In cells 'B14' to 'B17', please enter the details of any other funding transferred into the schools block.

In cells 'C14' to 'C17', please enter the amount of any funding transferred into the schools block (adjacent to the relevant entries in cells 'B12' to 'B15', if applicable).

These cells will be greyed out and excluded from any subsequent calculations unless an entry has been made into the relevant rows of column 'B'.

In cells 'E14' to 'E17', please enter the details of how any transfers outlined in cells 'B14' to 'B17' and 'C14' to 'C17', have been calculated. You must include details of any transfers in from previous years underspends, or from reserves.

If an authority with a DSG deficit wishes to use general funds to eliminate any part of the deficit, or otherwise to add general funds to its schools budget, it must apply via a disapplication to the Secretary of State for permission. In cells 'E14' to 'E17' please provide the reference number for the disapplication agreeing to the transfer from general funds to the schools block.

These cells will be greyed out and excluded from any subsequent calculations unless an entry has been made into the relevant rows of column 'B'

In cell 'E28', please provide one of the following, if there is a deficit showing in cell 'C28':

- a reference number for the disapplication agreeing the difference between the funding allocated and the DSG schools block total
- details of schools forum approval of any difference up to 0.5%

## De Delegation

This worksheet is used to record instances where allowable budgets are handed back to the local authority by maintained schools to be funded centrally.

For the purpose 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

Two tables are present on the worksheet, the semi-editable 'De-delegation unit value input table' and the un-editable 'school-level de-delegation table'. For a full breakdown of this worksheet, please see the [Authority proforma tool – purpose and process](#) publication.

In cells 'F8' to 'W24', please enter the relevant primary and secondary unit rates against the appropriate indicators (depending on the de-delegation agreements). The insurance category (column J) should not be used for any providers becoming members of the department's Local Authority Maintained Schools (LAMS) RPA Scheme. New members for the 2021-22 financial year should be logged using the online [RPA portal](#). DSG deductions are calculated including Nursery and post 16 pupil numbers which are not included in the APT and so de-delegations would be inaccurate.

In cells 'F26' to 'W26', please enter the relevant percentages next to the appropriate indicators.

## Education Functions

This worksheet collects data on the services relating to maintained schools which local authorities can fund from the maintained school budget shares (subject to agreements).

In cell 'E6', please enter the single per-pupil rate for pupils aged 5 to 16 years old for all mainstream maintained schools. Note that this applies to maintained schools only, therefore academies shown in the list will display '£0' in column 'F'.

## New ISB

This worksheet compiles all of the data you have inputted into the APT so far and provides a breakdown of the individual school budget (ISB) for each school moving into the next financial year.

No user input is required/possible here.

## School level SB

This worksheet allows you to view the funding that a selected school will receive under the formula entered in the APT.

In cell 'C9', please select from the drop-down to select, or manually enter, the LAEstab of the school which you would like to view the budget breakdowns for.

You will notice that the worksheet is automatically populated using formulae and therefore, other than cell 'C9', the cells cannot be edited. However, this worksheet has no other protection applied so you will have considerable scope to adjust and tailor it to your needs.

For example, you can:

- add rows
- delete rows (that do not contain purple cells)
- adjust row heights
- add columns
- delete columns (that do not contain purple cells)
- adjust column widths
- overtype any text (not contained in purple cells)

The print range is pre-set to print both tables shown on this sheet, but you can also adjust this if required.

There is also space for you to include the local authority's logo or crest on this page. You may find the worksheet helpful for generating a summary of the 2021 to 2022 funding, which can then be published on the local authority's/school's intranet or used to send to schools in the local authority.

## Recoupment

This worksheet estimates the amount to be recouped for all academies that are open prior to 4 January. 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' are automatically populated with the list of academies and their post-MFG budgets, calculated in the 'New ISB' worksheet.

In cell 'H6', please enter the amount of growth funding paid between March and September (if applicable) to be excluded from the total recoupment amount.

In cell 'I6', please enter the amount of growth funding paid between April and August (if applicable) to be excluded from the total recoupment amount.

In cell 'J6', please enter a complete narrative explaining the justification for any amounts entered in 'H6' and/or 'J6' (if applicable).

Please note that the recoupment figures calculated in this sheet are provisional and are subject to change. ESFA will write to each local authority by the end of April 2021 to provide the final recoupment amounts, for all academies that will have opened by 31 March 2021.

## Post-16 infrastructure changes

This worksheet has been included for local authorities to tell us about any infrastructure changes happening in maintained schools so that we can calculate 16 to 19 revenue funding allocations for academic year 2021 to 2022.

Infrastructure changes often require us to adjust individual school allocations. We need to know about these now so that we can calculate and deliver accurate 16 to 19 revenue funding allocations by March 2021 and avoid late notification to schools of budget changes.

Any changes in academy sixth forms that you are aware of should also be entered here. We will use your information to confirm these with the regional school commissioner responsible for approving significant changes with academies.

In cells 'D5', 'F5' and 'I5', you should enter contact details for the person responsible for this information.

Cell 'C7' will contain the default entry of 'Yes' indicating that there are no changes to report. If you are aware of any changes occurring in 2021 to 2022 you should select 'No'. This will allow entries to be made in the 3 tables.

The first table should be used to enter details of any new sixth forms opening during the year and the second table should be used for entering details of sixth form closures. The third table is used to report details of any schools with sixth forms which are expected to merge during 2021 to 2022.

## Validation

Although the 'Validation' worksheet is completely automated and no user input is required, it is important that you review this worksheet once all others have been populated as it will indicate where any errors have been found.

The 'Validation' worksheet is there to help the local authority ensure that the data has been entered correctly. Failed checks on the 'Validation' worksheet will not prevent submission of the proforma; however, a proforma submitted with failed checks is highly likely to require re-submission.

## Submitting the APT to ESFA

Each local authority is issued with a unique username and password for access to the portal where the APT is submitted.

Guidance on how to use the portal is available on the front page following sign in. Please follow this link to the log in page.

## 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](mailto:APTsubmissions.QUESTIONS@education.gov.uk).

## **Annex A—factors**

### **Basic per-pupil led funding**

The first level to the building blocks of funding is basic per-pupil funding.

This factor is compulsory.

This factor assigns funding on the basis of individual pupils, with the number of pupils for each school or academy taken from the October census data.

Funding is allocated according to an age-weighted pupil unit (AWPU) which means that there is a single rate of funding attracted per pupil, with an amount that varies dependant on the age category of that pupil (see below).

Local authorities can choose to increase the pupil number count for schools with higher reception pupil numbers in the January 2020 census than the October 2019 census. As ESFA does not include reception uplift in the NFF, local authorities currently using a reception uplift factor should consider whether to do so in 2021 to 2022. However, schools with reception uplift will not be financially disadvantaged in the NFF calculations, as the funding will remain in their baselines.

### **Basic entitlement**

Basic entitlement funding is allocated as an amount per pupil, dependant on what age category that pupil falls into. The following is the current funding attracted by each category:

- primary age pupils (R (aged 4 or over) to Y6) must be a minimum of £2,000
- KS3 (KS3 = Y7, Y8 and Y9) must be a minimum of £3,000
- KS4 (KS4 = Y10 and Y11) must be a minimum of £3,000

Note that KS3 and KS4 can have different rates.

ESFA has increased the per pupil rate for primary pupils by £180 and secondary pupils by £265 include the TPG and TPECG in the NFF—we expect local authorities to add these same amounts when setting their local formula.

### **Additional needs funding**

The next level of funding to be considered is dependent upon the individual circumstances of the pupils, which covers a number of variables.

There are 4 overarching factors in this section, however deprivation is made up of a number of measures.

A pupil may attract funding for one, none or a number of these factors and sub factors.

## **Deprivation**

This factor is compulsory.

As it is recognised that pupils from lesser economic positions can benefit from additional educational support, the deprivation factor is used by local authorities to help to bridge any resulting educational gap.

Under the deprivation heading, there are 3 measures of deprivation which the local authority can choose to use:

1. free school meals
2. free school meals Ever 6
3. income deprivation affecting children index

## **Free school meals (FSM)**

Pupils who are eligible for FSM as taken from the October census.

## **Free school meals Ever 6 (FSM6)**

Pupils who are identified as FSM6 eligible (pupils who have been entitled to FSM at any time in the last 6 years) as taken from the previous January census.

Where the FSM6 ratio is recorded as lower than the current FSM ratio for any school, ESFA will automatically set the FSM6 ratio equal to the current FSM ratio.

## **Income deprivation affecting children index (IDACI)**

The IDACI element of the deprivation factor is based on the IDACI dataset for 2019, which is published by the Ministry for Housing, Communities and Local Government (MHCLG). IDACI is a relative measure of socio-economic deprivation—an IDACI score is calculated for an LSOA (an area with typically about 1,500 residents) based on the characteristics of households in that area.

The IDACI score of a given area does not mean that every child living in that area has particular deprivation characteristics—it is a measure of the likelihood that a child is in a household experiencing relative socio-economic deprivation. LSOAs are ranked by score, from the most deprived LSOA, with the highest score, to the least deprived LSOA.

The IDACI measure uses 7 bands (A to G where A is the most deprived) and different values can be attached to each of the 6 bands A to F. Different unit values can also be used for primary and secondary schools in each band.

## Low prior attainment

This factor is optional.

The LPA factor acts as a proxy indicator for low-level high-incidence special educational needs, and is measured as such for primary and secondary pupils:

- primary pupils identified as not achieving the expected level of development in the early years foundation stage profile (EYFSP)—please see the [schools operational guide: 2021 to 2022](#)
- secondary pupils not reaching the expected standard in KS2 at either reading, writing or maths—an individual weighting is applied to each year group from years 7 to 10 when calculating secondary LPA to reflect the higher levels of low attainment under the new testing regime

Following the cancellation of 2020 primary school assessments due to coronavirus (COVID-19), no LPA data will be available for pupils in years 1 or 7. The schools block uses each schools years 2 and 8 to fill these gaps. Where this information is not held, because the school did not have pupils in these year groups, the local authority average for years 2 or 8 is used. For new schools entered on the 'Inputs & Adjustments' worksheet, local authorities should use the local authority average, or where this is not representative, a local estimate.

## English as an additional language (EAL)

This factor is optional.

Pupils identified in the October census with a first language other than English, may attract funding for up to 3 years after they enter the statutory school system.

Local authorities can choose to use indicators based on 1, 2 or 3 years and there can be separate unit values for primary and secondary.

ESFA has used 3 years in the NFF—local authorities should consider this when setting their local formula.

## Mobility

This factor is optional.

This factor pertains to pupils who first appeared in either the January or May census return at their current school (the one they are on roll at in the October census) in 2017 or later. This is for pupils in reception only, those first appearing at their current school in the May census are classed as mobile.

With this factor, there is a 6% threshold and funding is allocated based on the proportion above the threshold (for example, a school with 8% of pupils classed as mobile will attract pupil mobility funding for 2% of pupils).

## **Minimum level of per-pupil level of funding (MPPL)**

This factor is compulsory.

The minimum per-pupil funding rates will be the same as in the 2021 to 2022 NFF:

- £4,180 for primary schools
- £5,415 for secondary schools

The secondary school rate is only applicable to schools with pupils in years 7 to 11 as it is based on KS3 and KS4 year groups:

- £5,215 for KS3 year groups
- £5,715 for KS4 year groups

The calculation is shown below:

$((\text{number of primary year groups} \times £4,180) + (\text{number of KS3 year groups} \times £5,215) + (\text{number of KS4 year groups} \times £5,715))$

divided by

total number of year groups

The minimum per-pupil funding calculation uses the number of primary, KS3 and KS4 year groups which will have pupils in them in the upcoming year. To ensure the per-pupil amounts are calculated correctly, care must be taken when adding or amending any schools on the 'Inputs & Adjustments' worksheet to ensure that the correct year groups are recorded.

The APT is prepopulated with the primary, KS3 and KS4 rates. The secondary rate is calculated using the KS3 and KS4 rates (a secondary school will therefore only receive the rate of £5,415 if it has all 5 year groups present in the upcoming year). If you have received agreement to vary the default per-pupil rates through the disapplication process, you should enter the agreed alternative primary, KS3 and KS4 rates in cells D9, E9 and G9. You must also enter the disapplication reference number in cell L9. An APT will not

be accepted where the minimum per-pupil funding rates have been adjusted but no disapplication details have been provided.

The increase in MPPL rates since 2020-21 reflects the inclusion of the TPG and TPECG in the NFF. No school will have their allocation reduced below the minimum per pupil as a result of capping and scaling.

## School-led funding

The next level of funding to be considered is dependent upon the individual circumstances of the school, which again covers a number of variables.

There are 4 overarching factors in this section, however, 'premises' is made up of 4 individual measures.

A school may attract funding for one, none or a number of these factors and sub factors.

## Lump sum

This factor is optional.

Local authorities can set a flat lump sum for all phases or differentiate the lump sums for primary and secondary.

Local authorities should give middle schools a weighted average, based on the number of year groups in each phase.

The maximum lumps sum per school is £175,000, including any London fringe uplift.

All-through schools will receive the secondary lump sum.

## Sparsity

This factor is optional.

Schools that are eligible for sparsity funding must meet the following 2 criteria:

- they are located in areas where pupils would have to travel a significant distance to an alternative school, should that school close
- they are small schools

The significant distance is defined as follows:

- secondary schools = 3 miles
- all other schools = 2 miles

A school's size is defined by the average year groups size, as follows:

- primary = 21.4
- secondary = 120.0
- middle = 69.2
- all through = 62.5

This factor allows for a sparsity taper to mirror the methodology used as part of the NFF.

## Premises factors

The following measures fall under the heading of 'premises' as they relate to the physical buildings which make up the school and their upkeep.

## Rates

This factor is optional.

The national non-domestic rates (NNDR) are a tax on the occupation of non-domestic property.

Local authorities are responsible for collecting NNDR. Academies and free schools are able to apply for charitable status with local authorities in order to receive 80% mandatory relief on their NNDR bill. ESFA reimburse the remaining 20% of the academies' and free schools' yearly NNDR bill.

Local authorities must fund rates at their estimate of the actual cost. Local authorities can make adjustments to rates during the financial year, but this must be done outside of the funding formula. For example, an additional allocation could be made to a school (funded by balances brought forward). This should be reflected in the section 251 outturn statement and in each school's accounts. The effect on the school would be zero since any rates adjustment will be offset by a change in the cost of the rates.

## Private finance initiatives (PFI)

This factor is optional.

A PFI is a contract that the school may have entered into, often with the construction company who built/extended the school buildings or to provide ongoing services such as the maintenance and upkeep of the site/facilities for a specific period of time after completion.

A school that is part of a PFI contract may have unavoidable premises costs as a result of being in this type of arrangement. The local authority may choose to use this factor to

support schools to cover situations where the PFI affordability gap is delegated and paid back to the local authority.

## **Split sites**

This factor is optional.

The purpose of this factor is to support schools that have unavoidable extra costs because the school buildings are on separate sites.

Allocations must be based on objective criteria for the definition of a split site and for how much is paid.

## **Exceptional circumstances**

This factor is optional.

Local authorities can apply to ESFA to use exceptional factors relating to school premises (for example, for rents or joint-use sports facilities) with the following criteria:

- exceptional factors must relate to premises costs
- local authorities should only submit applications where the value of the factor is more than 1% of a school's budget and applies to fewer than 5% of the schools in the local authority's area
- local authorities can use exceptional premises factors used in 2020 to 2021 (for pre-existing, and newly qualifying schools) in 2021 to 2022, if the qualification criteria are still met

## **Growth**

This factor is optional

Local authorities can choose to set aside an amount of funding to cover basic need growth in their authority.

An amount, which is agreed with the schools forum, is top sliced from the schools block. Local authorities allocate out this funding to schools and academies that meet stringent growth funding criteria, which has to be agreed by the schools forum.

## **Geographic funding**

The final level of funding to be considered is dependent upon the geographical location of the school.

## London fringe

This factor is optional (and only applies to Buckinghamshire, Essex, Hertfordshire, Kent, and West Sussex).

The purpose of this factor is to support schools, which although they are within local authorities which are predominantly outside of the London fringe area, the school is within the fringe. This is because ESFA recognises that these schools will attract higher running costs.

If used, the multiplier is applied to the 6 pupil-led factors, the lump sum factor and also the sparsity factor.

In the APT, the factor can be applied in one of 2 ways:

1. As a multiplier of 1.0156.
2. As a multiplier of the differential of the area cost adjustment of fringe and non-fringe zones in the local authority.

This mirrors the NFF calculation—the differentials are:

- Buckinghamshire: 1.0176
- Essex: 1.0339
- Hertfordshire: 1.0306
- Kent: 1.0368
- West Sussex: 1.0569

## Annex B—local factors

Although the 'Local Factors' worksheet is outlined in the 'authority proforma tool – purpose and process' publication, and also in the overview section of this document, due to the complexity of some of the rationale behind the data entry, this annex has been created to avoid saturation.

### Opening/closing (column 'O')

This should be '1.00' unless the school is opening or closing during the year, in which case you should enter the proportion of the 2021 to 2022 financial year the school will be open, preferably as a formula.

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. Please therefore enter this in the APT as a formula (= 5/12).

Attempting to enter values greater than '1' or equal to '0' will result in an error message.

The default option is '1.00' and '0' is not permitted as an option here, because schools closing prior to April 2021 and open for 0% of the year should be recorded as a closure on the 'Inputs & Adjustments' worksheet and will not appear on the 'Local Factors' worksheet.

### New and growing school (column 'P')

Please select 'yes' or 'no' from the drop-down list to indicate whether the school has opened during the past 7 years and has not yet reached its full number of year groups.

Please note, 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')

Please select 'yes' or 'no' from the drop-down list to indicate whether the school has a special unit or a 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 'V' 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 are required in 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 DSG.

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 ESFA need to know how many of the places in 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 ESFA will use this information to fund academies with units.

The SBS 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 school's 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 '20-21 HN places' worksheet 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 2020 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 will 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 sole or dual (main) registered at the school. 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 2020 to 2021 high needs places agreed with ESFA (column 'V')**

If the place figures you have provided in columns 'R' to 'U' vary from the numbers in the '20-21 HN places' worksheet, please select a reason for this variance from the dropdown list. If you select 'other', 'new high needs unit opening mid-year' or 'existing high needs unit closing mid-year' please provide further details in column 'AV'. 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 'AV'.

## **21-22 split sites (column 'W')**

This should be blank or '0' unless the school has a split site 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.

## **21-22 rates (column 'X')**

Enter actual rates payable after any entitled relief has been applied. If left blank it will be treated as '0'.

## **Adjustment to 20-21 Rates (column 'Y')**

This column should only be used if you are retrospectively adjusting previous year rates amounts in 2021 to 2022. If you are adjusting in 2021 to 2022, enter the adjustment to account for any difference between previously funded 2020 to 2021 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 underestimate.

Please provide a narrative in column 'AV' for all adjustments made.

## **21-22 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 '0'.

## Other adjustments to 20-21 budget shares (column 'AA')

Apart from certain circumstances specified in the regulations, school budgets cannot be re-determined in year. Any corrections relating to 2020 to 2021 will therefore have to be made in the 2021 to 2022 budget calculation, although, since they relate to the previous funding period, they will be excluded from the minimum funding guarantee (MFG) calculation for 2021 to 2022. From 2021 to 2022 any adjustment will also be excluded from the schools MPPL calculation.

Enter necessary adjustments here to account for any difference between previously submitted 2020 to 2021 SBS 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 2020 to 2021 baseline in the current 2021 to 2022 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 underestimate. If left blank it will be treated as '0'.

Please ensure you provide a narrative in column 'AV' for all adjustments made. This will be added to the total allocation in the 'New ISB' worksheet.

## 21-22 approved exceptional circumstances 1 to 7 (columns 'AB' to 'AH')

Please 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 '0'.

Please enter a brief description for each exceptional circumstance you apply in the blue input cells above the column titles. These will then automatically appear in the 'Proforma' and the 'School level SB' worksheets.

## Additional lump sum for schools amalgamated during financial year 20-21 (Column 'AB')

Please note that column 'AB' is reserved for adjustments to any additional lump sum for schools which amalgamated during financial year 2020 to 2021 (including schools that amalgamate on 1 April 2020).

Where schools amalgamated during this period, the resultant school can retain the equivalent of 85% of the aggregate lump sums that the collective predecessor schools would be allocated during financial year 2021 to 2022, the year after they merged. Please enter here the additional lump sum that schools amalgamated during the 2020 to 2021

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 sparsity lump sum for small schools (column 'AC')**

For very small, sparse secondary schools:

- less than a total of 350 pupils on roll
- sparsity distance of 5 miles or more
- pupils present in years 10 or 11

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 sparsity factor. Column 'AC' is reserved for the local authority to enter any such additional sparsity funding amounts, as approved by ESFA.

Column 'AC' should be left blank if you are not using the sparsity factor in your formula.

## **21-22 approved exceptional circumstances 3 to 7: total of entries not relating to premises costs (column 'AI')**

You should enter here the total of any entries in exceptional circumstances 3 to 7 (columns 'AD' to 'AH') which do not relate to premises costs. This is required as part of the MPPL calculation to ensure that all premises costs are removed from the allocation. The data is also required to ensure correct identification of premises costs in any future modelling carried out.

## **21-22 approved exceptional circumstances: total of premises costs which will be excluded from the minimum per-pupil funding calculation (column AJ)**

This column is automatically populated and shows the total of premises funding entered in Exceptional Circumstances 3 to 7 (the total of columns 'AD' to 'AH' minus 'AI').

## **21-22 approved MFG exemptions 1 to 5 (columns 'AK' to 'AO')**

Please only include 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 2020 to 2021 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 '0'.

## **21-22 technical adjustments 1 to 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 '0'. Please note that column 'AP' is reserved for new delegation adjustments and only positive figures are permitted. Column 'AT' will be prepopulated with an adjustment to the 2021 to 2022 MFG equal to the adjustment to the 2020 to 2021 budget share entered in column 'AA'.

Technical adjustment 2 (column 'AQ') has been reserved for removing premises costs from the MFG for those local authorities 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.

## **21-22 total approved MFG exemptions and technical adjustments for use in MFG calculation (column 'AU')**

The total 2020 to 2021 approved MFG exemptions and technical adjustments to be used in the MFG calculation are calculated in column 'AU', by summing all the input values in columns 'AK' to 'AT'.

## **Comments (column 'AV')**

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' worksheet.

Please also provide a narrative if you have selected 'other', 'new high needs unit opening mid-year' or 'existing high needs 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' worksheet. Please note that if you fail to provide a narrative you will get a 'fail' indication in the 'Validation' worksheet.

## **Annex C—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 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' worksheet 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' worksheet 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.

### **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' worksheet 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 the closure of another school nearby, an exceptional application should be agreed with the relevant schools forum and submitted to ESFA for approval.

## **Annex D—common issues**

### **Ordering of schools in the APT's worksheets**

The prepopulated data contained in the 'Schools Block Data' and the '20-21 submitted baselines' worksheets 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' worksheet is the same as in the 'Schools Block Data' worksheet, with any schools added to the list using the 'Inputs & Adjustments' worksheet appearing at the bottom.

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

### **Duplicate school shown on the 'Local Factors' worksheet**

Duplicated schools can appear because an amalgamation or academy conversion has been entered on the 'Inputs & Adjustments' worksheet but the predecessor LAEstab reference has not been entered and the LAEstab of the new school is the same. This reference is needed to prevent the original entry from the 'Schools Block Data' worksheet being carried forward to later worksheets along with the new school. Duplicated schools are flagged as failures on the 'Validation' worksheet.

### **The London fringe column (column 'K') in the 'Local Factors' worksheet**

The APT is prepopulated for all schools. Where a school is in one of the 5 affected areas and is not in the fringe, the default value of 1.00 is entered. 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 select the correct value from the drop-down list in this column.

## **Additional lump sum for schools which amalgamated during 2020 to 2021 or on 1 April 2020**

Approved exceptional circumstance 1 (column 'AB' of the 'Local Factors' worksheet) is reserved for this purpose.

Column 'AE' of the 'New ISB' worksheet 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 2020 to 2021 or on 1 April 2020, this is not the full lump sum amount to which they are entitled under the 85% arrangement. Local authorities should record in exceptional circumstance 1 (column 'AB') of the 'Local Factors' worksheet the additional lump sum funding, over and above the amount shown in column 'AE' of the 'New ISB' worksheet. In the 'New ISB' worksheet, 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 added to the original lump sum factor for exclusion from the MFG calculations.

## **Validation failures**

All of the checks on the 'Validation' worksheet must be passed before the local authority can submit their APT. Where any check is failed this must be resolved prior to submission. The 'Validation' worksheet contains comments providing detailed information to help clear any failures. These comments 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.

## **Schools converting to academy status retaining the same LAEstab**

Local authorities will need to populate each of the columns in the 'Inputs & Adjustments' worksheet as the data will not be automatically carried forward from the 'Schools Block Data' worksheet. All the columns in the 'Schools Block Data' worksheet appear in the same order in the 'Inputs & Adjustments' worksheet, so local authorities can simply copy and paste the values across in one go.

## **Entering an adjustment in the 'Inputs & Adjustments' worksheet for a new or amalgamated school**

It is very important to check that the school list in the 'Local Factors' worksheet displays the correct maintained schools and academies expected to be funded in 2021 to 2022, before entering any data here (or on any subsequent worksheet).

If adjustments are entered in the 'Inputs & Adjustments' worksheet after entering data in subsequent worksheets the order of the school list may change but the data you have entered in the blue cells will stay in the same place. As a result, some, or all, of that data may appear against the wrong school or academy.

If, however, it is not possible to complete the APT in this sequence we recommend saving a separate copy of the APT once the bulk of the entries have been completed. If then a new/amalgamated/converter school needs to be added at a later stage, a lookup formula can be used to populate the 'Local Factors' worksheet with figures contained in the original saved copy. These formulas must be replaced with values before the local authority submits the APT to ESFA.

## **Academies that convert prior to 4 January 2021 with more than one predecessor school**

In the 'Inputs & Adjustments' worksheet, the reason 'conversion to academy status prior to 4 January 2021' should be entered in column 'A'. In columns 'B' to 'E' the local authority must enter the LAEstabs of all predecessor schools.

## **The number of mobile children calculated on the 'Adjusted Factors' worksheet**

The mobility factor only applies above 6%. In the 'Adjusted Factors' worksheet, the APT automatically deducts the 6% when calculating the number of children at a school eligible for this factor. For any school with a mobility ratio less than 6% the number of mobile children will be 0.

## **Sparsity distances for middle-deemed primary schools**

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' worksheet so that they feed through into the rest of the APT and its calculations correctly.

## **Schools where the NOR and phase are not aligned**

On the 'Validation' worksheet the 'NOR & phase' check will fail for a school if its phase and NOR don't align in the 'Adjusted Factors' worksheet.

To resolve this check local authorities must amend the phase of the school in the 'Inputs & Adjustments' worksheet 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

the phase is changed from 'primary' to any other phase 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.

## Annex E—Teachers pay and pensions grants

In the NFF, an addition is made to the funding floor baseline to represent the TPG and TPECG paid in 2020 to 2021. In the APT the same amount is added to the MFG baseline in order to provide the same protection to schools. For new schools which do not have a prepopulated entry in respect of these grants, the local authority should enter a manual adjustment to the MFG baseline on the '20-21 final baselines' worksheet.

Every school is funded for a minimum of 100 pupils, in line with the methodology of the TPG and TPECG. If a school has fewer than 100 primary and secondary pupils, its pupil count is uplifted in proportion to its primary and secondary pupil counts for the purposes of the grants adjustments. The per-pupil level of funding is based on the phase of the pupil. Where a school has both primary and secondary pupils and the NOR is increased to the minimum of 100 pupils, the split between phases should be based on the actual difference in the NOR.

The addition is made on a per-pupil basis. The per-pupil rates are calculated using annualised primary and secondary per-pupil funding rates from the grants. These are derived from the rates for the April to August 2020 TPG and TPECG allocations, which were in turn defined as 5/7 of the September 2019 to March 2020 rates. Therefore, the annualised rates are 12/7 of the September 2019 to March 2020 rates.

The rates reflect geographical variation in teacher pay scales between inner London, outer London, fringe areas and the rest of England. The per-pupil rate for each of the grants is shown in tables 5 and 6.

Region	Primary TPG	Primary TPECG	Total
Inner London	£55.94	£158.06	£214.00
Outer London	£51.75	£146.21	£197.96
London fringe	£48.45	£136.89	£185.34
Rest of England	£47.02	£132.86	£179.88

Figure 2: primary per-pupil rates by region

Region	Secondary TPG	Secondary TPECG	Total
Inner London	£82.34	£232.65	£314.99
Outer London	£76.17	£215.23	£291.40
London fringe	£71.30	£201.48	£272.78
Rest of England	£69.21	£195.57	£264.78

Figure 3: secondary per-pupil rates by region

For a school with more than 100 pupils the calculation is (Primary NOR \* primary rate) + (Secondary NOR \* secondary rate).

For a school with fewer than 100 pupils the calculation is  $(100 * (\text{primary NOR}/\text{total NOR}) * \text{primary rate}) + (100 * (\text{secondary NOR}/\text{total NOR}) * \text{secondary rate})$ .

## Example 1

For a primary school in outer London with 110 pupils, the total amount to include in the MFG baselines is  $110 * £197.96 = £21,775.60$ .

## Example 2

An all-through school in the North of England with 30 primary pupils and 20 secondary pupils will be funded for 100 pupils.

The primary calculation is:

$$100 * (30/50) = 60 \text{ pupils}$$

$$60 * £179.88 = £10,792.80$$

The secondary calculation is:

$$100 * (20/50) = 40 \text{ pupils}$$

$$40 * £264.78 = £10,591.20$$

The total additional amount to include in the MFG baseline is £21,384, the sum of the primary and secondary calculation.



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