



Education  
Funding  
Agency

**This document has been  
withdrawn as it is out of date.**

# **Funding allocation pack: 2016 to 2017 academic year**

**A guide for mainstream free schools,  
studio schools and UTC's opening  
between 1 September 2016 and 31  
March 2017**

**June 2016**

## Contents

<b>Introduction</b>	<b>3</b>
How to use the guide	3
Who is the guide for?	3
Further information	3
<b>The GAG statement explained</b>	<b>4</b>
Summary statement	4
Academic year 2016 to 2017 summary table	4
Sixth form funding	5
<b>Table A - school budget share</b>	<b>6</b>
Table A - structure description	6
Sample Table A – school budget share	8
The sparsity factor	19
<b>Table B – 2016 to 2017 funding protection</b>	<b>20</b>
Exclusions and adjustments	20
Sample Table B – academic year 2016 to 2017 funding protection	21
<b>Table C – education services grant (ESG)</b>	<b>22</b>
Sample Table C – academic year 2016 to 2017 education services grant	22
<b>Table D – post-opening grant (start-up grant)</b>	<b>23</b>
Start-up grant (SUG)	23
Post-opening grant (POG)	23
Sample Table D – academic year 2016 to 2017 post-opening grant (start-up grant)	24
<b>Table E – pre-16 high needs place funding</b>	<b>26</b>
Sample Table E – academic year 2016 to 2017 pre-16 high needs place funding	27
<b>Table F – post-16 high needs place funding</b>	<b>28</b>
Sample Table F – academic year 2016 to 2017 post-16 high needs place funding	29
<b>Table G – pupil number matrix</b>	<b>30</b>
Sample Table G - academic year 2016 to 2017 pupil matrix	31
<b>Funding outside the GAG</b>	<b>32</b>
Risk protection arrangement (RPA)	32

## Introduction

This operational guide helps you understand how the Education Funding Agency (EFA) has calculated your 2016 to 2017 academic year funding. We have developed the guide in consultation with a sample of academies and free schools to make sure it better meets your needs.

The guide supports your general annual grant (GAG) statement. This sets out the funding you will receive, how we have calculated it, the factors that have been applied and the source of the data we use.

## How to use the guide

We have produced the guide in a format that allows you to easily access the specific parts that interest you, or areas where you require more detailed information.

The subsequent chapters take you through an example funding statement table by table, explaining each line in turn.

We recognise that GAG funding makes up only part of the overall funding for your academy. We are looking at ways we can show all your EFA funding lines together in a single account. In the interim, we have added a section to the end of the guide listing the main [non-GAG revenue and capital funding lines](#). It includes links to information about how and when these are paid.

## Who is the guide for?

This guide is for mainstream free schools, studio schools and UTC's open between 1 September 2016 and 31 March 2017, including those with designated special units and resourced provision. Separate guidance is available for [special and alternative provision mainstream free schools](#) opening from 1 September 2016.

When we refer to free schools in this document we are referring to free schools, UTCs and studio schools, unless otherwise stated.

## Further information

Additional information is available in the revenue funding guides for [mainstream free schools](#), [16-19 free schools](#), [UTCs](#), and [studio schools](#).

Further policy information on the [schools funding arrangements](#) for 2016 to 2017 is also available. This includes the operational guidance on schools revenue funding and the factors that local authorities can use in their funding formula. We have also published [high needs funding arrangements](#) for 2016 to 2017.

In addition you can access [on-line presentations and slide](#) sets about academy funding in the 2016 to 2017 academic year.


## The GAG statement explained

The following sections of this guide walk you through the GAG statement for the 2016 to 2017 academic year. Please note that the figures in the sample Tables A to G **are intended as an illustration only**. They are drawn from a number of different cases to show you as many of the calculation workings as possible, and together they do not represent a single real-life academy.

### Summary statement

The first page of your GAG statement is a summary statement of the tables that make up your GAG. The information used to populate the summary table comes from each of the tables in your pack. Section 2 (high needs allocation) will only be populated if your academy has a designated special unit. Section 3 (16-19 allocation) will only be populated if your academy has a sixth form.

### Academic year 2016 to 2017 summary table

 <b>Education Funding Agency</b>	<b>Academic year 2016 to 2017 General Annual Grant statement</b>	
Name	Provider name	
LA name	LA name	
LAESTAB	LAEstabnumber	
UPIN	UPIN	
UKPRN	UKPRN	
URN	URN	
Opening date	Date	
Days open	Number of days open in academic year 2016 to 2017	
<b>1. Breakdown of academic year 2016 to 2017 school allocation</b>		
School budget share (excl. rates)	£0.00	See Table A
of which: notional SEN funding	£0.00	See Table A
funding previously de-delegated	£0.00	See Table A
Funding protection	£0.00	See Table B
Education services grant	£0.00	See Table C
Post-opening grant (start-up grant)	£0.00	See Table D
<b>Total school allocation</b>	<b>£0.00</b>	

<b>2. Breakdown of academic year 2016 to 2017 high needs allocation</b>		
Pre-16 high needs place funding	£0.00	See Table E
Post-16 high needs place funding	£0.00	See Table F
<b>Total high needs allocation</b>	<b>£0.00</b>	(Excludes any top-up funding from LA)
<b>3. Breakdown of 16-19 allocation</b>		
Programme funding – formula	£0.00	See 16-19 allocation statement and associated <a href="#">supporting documents</a>
Formula protection funding	£0.00	
Student financial support funding	£0.00	
Total 16-19 allocation including student financial support funding	£0.00	
<b>Total allocation (1+2+3)</b>	<b>£0.00</b>	
Information on funding lines that are in addition to GAG will be provided separately (pupil premium, for example)		

## Sixth form funding

The summary table will present an extract from your 16 to 19 allocation statement (which we send to you separately) as shown in section 3 of the sample table above. We have published information to help you [understand 16 to 19 funding allocations](#) and specific information on [funding for the 2016 to 2017 academic year](#).

## Table A - school budget share

Table A sets out how we calculate your school budget share (SBS). Your local authority agrees funding factors and rates in consultation with its schools forum and supplies these to the EFA using the local authority pro forma tool. We apply these to your academy pupil numbers.

Pupil numbers are derived from the estimates on your financial plan for the 2016 to 2017 academic year. [Table G](#) gives further information about the pupil numbers we use in the calculation of your allocation. Once open, if the school's October census return shows that it has not admitted the estimated number of pupils on which it was originally funded, the EFA will carry out a Pupil Number Adjustment (PNA) to reduce the school's allocation, and recover any excess funding in instalments from September to November of the following academic year. If the school recruits more pupils than it has been funded for, the PNA will increase the school's allocation and trigger a payment, which will be released in February 2017.

We do not include pupils in designated special units in the SBS as they are funded on the number of agreed places. [Table E](#) shows place funding for pre-16 high needs pupils and [Table F](#) shows funding for post-16 high needs pupils.

The 2016 to 2017 financial year local authority funding formula will form the basis of your SBS until the end of the academic year on 31 August 2017.

In the unlikely event that your school opens part-way through the academic year, your allocation is calculated for the number of days from your date of opening to the 31 August 2017 by applying a pro rata to the full year's allocation. The number of days for which you are funded can be found at the top of each page of your funding statement.

## Table A - structure description

**Factor:** this column shows the names of the factors through which the local authority can allocate funding. There are two mandatory factors that all local authorities must use in their funding formula: basic entitlement (AWPU) and deprivation.

Factors are labelled as either pupil-led or non-pupil-led. Pupil-led factors are driven by pupil numbers or pupil characteristics. At least 80% of a local authority's schools block funding must flow through pupil-led factors. This may not be the case for every individual school.

Non-pupil-led factors could include lump sum, split site funding, private finance initiative (PFI) and exceptional circumstances. The exceptional circumstances lines will only show on your statement if your local authority has EFA agreement that it can apply exceptional factors and these are applicable to your academy.

In the explanation column of the sample tables we state the source of the data used for each factor e.g. autumn census. For new free schools where there is no predecessor school data we will apply local authority averages unless you specify an applicant alternative on your financial plan.

**Description:** this column gives you more information about the basis for the calculation.

**Full year funding amount:** this is the amount the local authority has calculated for the 2016 to 2017 financial year.

**Part year funding amount:** In the unlikely event that your school opens during the academic year your allocation is a proportioned amount based on the number of days between the date the school opened and the end of the academic year on 31 August 2017. The heading will be adapted according to the opening date of your school. For schools opening on 1 September, this will be a full year's allocation.

**Total pupil-led factors:** this is the total of all the pupil-led factors for which your academy is eligible.

**Total other factors:** this is the total for your non-pupil-led factors, for example lump sum, split site funding, PFI and exceptional circumstances, if applicable.

**Total school budget share:** this is the sum of your pupil-led factors and non-pupil-led factors.

**Percentage included in notional SEN:** local authorities will have identified a notional special educational needs (SEN) budget in each school budget share. This is called notional because it is not a ring-fenced budget and academies can make their own decisions about how much to spend on SEN support given the needs of their pupils.

When planning their budgets, academies should take into account that they must meet the costs of additional support for pupils with SEN up to £6,000 from their school budget share (including the notional SEN funding).

The total notional SEN budget is made up of a proportion of various factors included in your school budget share, depending on the local formula. The factors included and the proportion attributed to your notional SEN budget allocation is decided locally.

**Funding previously de-delegated:** funding for services is delegated by LAs to schools through the funding formula. Maintained schools collectively may then pass back, or de-delegate, funding to the LA for certain services to be provided centrally, with the approval of the schools forum. De-delegation will not apply to new free schools and no adjustments will be made on the basis that as a new school you would not have given up any delegated funding.

## Sample Table A – school budget share

The example includes explanations to help you understand your own Table A.

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on 1 September 2016)	Explanation
<b>1. Basic entitlement age weighted pupil unit (AWPU)</b>	Primary (including reception)	£99,786.96	£99,786.96	This factor is mandatory. For 2016 to 2017 the minimum unit values for primary and secondary pupils are £2,000 and £3,000 respectively. The LA can set different unit values for key stage 3 (KS3) and key stage 4 (KS4) but both of these must be at least £3,000 per pupil.
	Key stage 3	£134,666.64	£134,666.64	
	Key stage 4	£168,950.88	£168,950.88	LAs also have the option to apply a reception uplift, i.e. to add new reception pupils starting between the autumn and January census during 2014 to 2015.
<b>2. Deprivation</b>	Primary IDACI band 1	£0.00	£0.00	The Income Deprivation Affecting Children Index (IDACI) measures the proportion of children under the age of 16 that live in low income households in the local area.
	Primary IDACI band 2	£0.00	£0.00	
	Primary IDACI band 3	£736.92	£736.92	Your local authority formula can use any combination of IDACI categories and/or free school meals data to allocate its deprivation funding. In 2016 to 2017 LAs will use the <b>updated IDACI 2015</b> .
	Primary IDACI band 4	£489.53	£489.53	
	Primary IDACI band 5	£675.64	£675.64	



Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on 1 September 2016)	Explanation
	Primary IDACI band 6	£0.00	£0.00	<p>IDACI is only updated every 5 years and therefore likely to change significantly between updates. Academies in local authorities using IDACI for the deprivation factor may see fluctuations in their deprivation allocation due to the use of the updated index.</p> <p>A separate rate can be paid for each of the six categories in the IDACI index, and for the primary and secondary phases.</p> <p>You can find more information about IDACI 2015 on the <a href="#">indices of deprivation 2015</a> webpages.</p>
	Secondary IDACI band 1	£0.00	£0.00	
	Secondary IDACI band 2	£0.00	£0.00	
	Secondary IDACI band 3	£234.62	£234.62	
	Secondary IDACI band 4	£642.19	£642.19	
	Secondary IDACI band 5	£100.55	£100.55	
	Secondary IDACI band 6	£0.00	£0.00	
	Primary free school meals (FSM)	£0.00	£0.00	<p>This is the number of children in primary year groups in your academy eligible for a free school meal (FSM). Pupils eligible for FSM are recorded in the autumn 2015 school census. Note that if a LA uses free school meals it can only include either FSM or FSM6 (see below) and not both.</p>

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on 1 September 2016)	Explanation
	Primary FSM6	£5,565.76	£5,565.76	These are primary pupils who have been eligible for free school meals at any time in the past six years. The FSM6 indicator is produced by mapping the pupil premium 2015 to 2016 dataset onto the spring 2015 census.
	Secondary FSM	£0.00	£0.00	This is the number of children in secondary year groups in your academy that are eligible for a free school meal. Pupils eligible for FSM are recorded in the autumn 2015 school census.
	Secondary FSM6	£24,848.46	£24,848.46	These are secondary pupils who have been eligible for free school meals at any time in the past six years. The FSM6 indicator is produced by mapping the pupil premium 2015 to 2016 dataset on to the spring 2015 census.

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on 1 September 2016)	Explanation
3. Looked- after children (LAC)	LAC	£0.00	£0.00	<p>The term 'looked after' refers to children under 18 who have been provided with care and accommodation by children's services. The measure uses data collected from the <a href="#">SSDA903</a> return mapped to the spring school census. This factor covers all children who have been looked after for a day or more to 31 March 2015.</p> <p>LA averages are unlikely to represent the characteristics of your intake in respect of the proportion of looked after children because the smaller volumes of pupils in scope means there is likely to be a notable variation at school level. The weighting is therefore set to zero, unless sufficient evidence has been submitted and accepted.</p>

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on 1 September 2016)	Explanation
<b>4. Prior attainment</b>	Primary attainment: primary low attainment 73 or 78 points	£0.00	£0.00	<p>This factor may be applied for primary pupils identified as not achieving the expected level of development within the early years foundation stage profile (EYFSP). The EYFSP changed in 2013, so a weighting may be used to ensure that funding delivered through the primary prior attainment factor is not disproportionately affected by the year groups (years 1 to 3) assessed under the new framework.</p> <p>For pupils assessed using the old profile (years 4 to 6), local authorities will continue to be able to choose between two EYFSP scores, targeting funding to either all pupils who achieved fewer than 78 points; or all pupils who achieved fewer than 73 points on the EYFSP.</p>
	Secondary attainment: secondary pupils not achieving KS2 level 4 English or maths	£38,957.41	£38,957.41	For secondary pupils, prior attainment funding can be targeted at all pupils who achieved a level 3 or below in either English or mathematics at key stage 2.
<b>5. English as an additional language (EAL)</b>	Primary EAL band 1	£0.00	£0.00	Local authorities can choose to fund EAL for one, two or three years from the point where the pupil joins statutory education in England. This does not include reception.
	Primary EAL band 2	£0.00	£0.00	

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on 1 September 2016)	Explanation
	Primary EAL band 3	£378.37	£378.37	EAL band 1 refers to all pupils in the first year of statutory education, EAL band 2 includes those in their first or second year and EAL band 3 includes all pupils in their first, second or third year. The data will be taken from the national pupil database. The rate can differ for primary and secondary pupils.
	Secondary EAL band 1	£0.00	£0.00	
	Secondary EAL band 2	£0.00	£0.00	
	Secondary EAL band 3	£422.15	£422.15	
<b>6. Mobility over 10% (funding only applied where weighting &gt;0.1, to the proportion above 0.1)</b>	Primary pupils starting school outside of normal entry dates (proportion above 10%)	£0.00	£0.00	Pupil mobility refers to pupils who started the school at an unusual time during the last three academic years i.e. not in September (or not in January for pupils joining in reception). This factor allows funding to be targeted at schools experiencing levels of pupil mobility in excess of 10% of the whole school cohort. Data is taken from entry dates on the autumn census. Funding is applied to numbers in excess of a 10% threshold. A separate funding rate can be applied to primary and secondary phases. The weighting for mobility is set to zero for new provision, as schools are not funded for this in their first year.
	Secondary pupils starting school outside of normal entry dates (proportion above 10%)	£0.00	£0.00	
<b>Total pupil led factors</b>		<b>£476,456.08</b>	<b>£476,456.08</b>	

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on 1 September 2016)	Explanation
7. Sparsity	Sparsity funding (see further details in Table A.2)	£0.00	£0.00	<p>A fixed or variable amount may be applied to small schools and academies where the average distance to a pupil's second nearest school is more than 2 miles (primary) or 3 miles (secondary) and the average year group size is below the specified threshold for its phase.</p> <p>The maximum value for the sparsity factor is £100,000 per school (including fringe uplift). Local authorities can make an application to the EFA to include an exceptional factor of up to £50,000 for very small sparse secondary schools.</p> <p>More detail can be found in the <a href="#">sparsity factor</a> section.</p>

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on 1 September 2016)	Explanation
<b>8. Lump sum</b>	Lump sum	£125,000.00	£125,000.00	<p>The upper limit of the lump sum is £175,000. Local authorities may set a different lump sum for primary and secondary schools. All-through academies get the secondary rate, and middle schools get an average based on the number of year groups present in each phase. Any schools that merged in the 2015 to 2016 financial year will receive an allocation equivalent to 85% of the combined lump sums they would have received as separate establishments. The additional amount will be shown under the exceptional circumstance 1 line at the bottom of Table A.</p>
<b>9. Split sites</b>	Split sites	£0.00	£0.00	<p>This is an amount agreed by the local authority to cover additional costs associated with running a school across different sites. If the local authority chooses to apply this factor it must be based on clear criteria and a clear methodology for calculating the funding and be shown in the LA's pro forma.</p>

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on 1 September 2016)	Explanation
<b>10. Private finance initiative (PFI)</b>	PFI	£0.00	£0.00	This factor funds the additional costs of being in a PFI contract. This is not necessarily the full cost. This factor can relate to additional premises costs and/or the affordability gap of the contract where this has been delegated. There is no limit to how much a local authority can allocate to this but they must set out a clear methodology for calculating the funding.
<b>11. Existing sixth form commitments</b>	Existing sixth form commitments	£0.00	£0.00	This is payable where a local authority has historically subsidised sixth form pupils. It is a per pupil value which continues funding for post-16 pupils up to the level that the authority provided in the 2015 to 2016 financial year. It does not represent the sixth form funding allocation. Free schools with sixth forms will continue to be funded through the post-16 national funding formula.
<b>12. London fringe</b>	London fringe	£0.00	£0.00	This factor supports schools that have to pay higher teacher salaries because they are in one of 5 local authorities in the London fringe area, where only part of the authority is in this area. These are: Buckinghamshire, Essex, Hertfordshire, Kent and West Sussex. It is applied as a multiplier to the total schools block factors excluding premises factors (PFI, split-site, historic sixth form funding and approved exceptional funding factors).



Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on 1 September 2016)	Explanation
<b>Total other factors</b>		<b>£125,000.00</b>	<b>£125,000.00</b>	
Exceptional circumstance 1	Additional lump sum for schools amalgamated during the financial year 2015 to 2016	£0.00	£0.00	This is the additional amount payable as a result of the amalgamation. It is 85% of the combined lump sums from the year after amalgamation. Additional lump sums may be agreed in a second year after amalgamation, these will be shown as one of exceptional circumstance 3 to 6.
Exceptional circumstance 2	Additional sparsity lump sum for small schools	£0.00	£0.00	Local authorities can apply to include an additional lump sum of up to £50,000 for very small secondary schools in sparsely populated areas.
Exceptional circumstance 3	Exceptional circumstances 3	£0.00	£0.00	Local authorities may request the inclusion of additional factors in their formula for exceptional circumstances relating to the nature of their premises. Such factors have to be approved by the EFA. To qualify as 'exceptional' these factors must normally affect fewer than 5% of schools (including academies) in the authority and the cost for the institution must normally exceed 1% of their budget. Note that these lines will only appear in Table A if your local authority has an approved exceptional factor and it applies to your academy.
Exceptional circumstance 4	Exceptional circumstance 4	£0.00	£0.00	
Exceptional circumstance 5	Exceptional circumstance 5	£0.00	£0.00	
Exceptional circumstance 6	Exceptional circumstance 6	£0.00	£0.00	

<b>Factor</b>	<b>Description</b>	<b>Full year funding amount</b>	<b>Part year funding amount (as full year for academies open on 1 September 2016)</b>	<b>Explanation</b>
	<b>Total school budget share (excluding rates)</b>	<b>£601,456.08</b>	<b>£601,456.08</b>	
	<b>of which notional SEN budget</b>	<b>£55,574.53</b>	<b>£55,574.53</b>	
	<b>funding previously delegated</b>	<b>£0.00</b>	<b>£0.00</b>	<b>De-delegated funding does not apply to new provision</b>

## The sparsity factor

The sparsity factor is derived from the distance that pupils live from their second nearest eligible school. For each school, those pupils for whom the school is the closest eligible school are identified and then the average distance to the second nearest eligible school for these pupils is calculated. Distances are calculated using the crow flies distance from a pupil's postcode to a school's postcode. This has been calculated using pupil and school postcode coordinates from the autumn pupil level and school level census. For the purposes of this factor, selective grammar schools are not considered when identifying the second nearest school. In addition, pupils living outside of England are excluded from the sparsity distance calculations.

The school size criteria in the sparsity calculation is based on average year group.

A school may attract sparsity funding if it meets the following criteria:

Phase	Average year group size fewer than:	Distance
Primary	21.4 pupils	2 miles +
Middle	69.2 pupils	2 miles +
Secondary	120 pupils	3 miles +
All-through	62.5 pupils	2 miles +

Local authorities can narrow the eligibility criteria by increasing the average distance to the second nearest school or reducing the pupil number thresholds. They may not widen the eligibility criteria. Local authorities can determine a sparsity lump sum for each of the above phases, up to a maximum of £100,000 per academy in each case. They can also apply a 'taper' so that the amount paid to an institution is relative to their pupil numbers. This means the smallest schools receive higher sparsity funding.

Local authorities can also apply to include an additional lump sum of up to £50,000 for very small secondary schools in sparsely populated areas. The criteria for eligibility of a school are:

- pupils present in years 10 and 11
- 350 pupils or fewer
- a sparsity distance of 5 miles or more

If this additional lump sum applies to your academy it will be shown in the [exceptional circumstances](#) part of Table A.

## Table B – 2016 to 2017 funding protection

Funding protection limits the impact of differences in the per-pupil funding element of budgets developed using the previous year's financial template and/or ready-reckoner, and actual budgets based on the new local formula. The protection will limit the difference in per-pupil funding to a reduction of 1.5%. This element of protection funding is only applicable for the first year of opening.

In order to determine whether the protection needs to be applied, we compare the 2015 to 2016 academic year LA average per pupil rate (intended to be representative of the funding in that year's free schools 'ready reckoner') to the 2016 to 2017 academic year LA average per-pupil rate. We do this for the following phases, where there are 2016 to 2017 academic year pupil numbers within the phase:

- a. Primary
- b. Key stage 3 (KS3)
- c. Key stage 4 (KS4)

If the 2016 to 2017 academic year per pupil rate is less than 98.5% of the 2015 to 2016 academic year per pupil rate, then a protection amount will be payable.

The per pupil protection amount will be calculated using the 2016 to 2017 academic year pupil numbers to find the total protection amount to be added to the individual academy SBS. Table B shows the funding protection calculation. This will be shown on the GAG statement as a 'Funding protection' amount.

## Exclusions and adjustments

A number of exclusions and adjustments are applied to the respective school budget shares in order to ensure a valid comparison.

### Exclusions

The funding lines automatically excluded from the calculation are:

- mobility
- high needs
- sparsity
- looked after children (LAC)

## Sample Table B – academic year 2016 to 2017 funding protection

Line		Value			Calculation	Explanation
		a. Primary	b. KS3	c. KS4		
1.	Academic year 2015 to 2016 LA per pupil rate	£3,313.55	£4,752.59	£5,704.93		EFA calculate and compare the respective LA average per pupil rates for the 2015 to 2016 & 2016 to 2017 academic years.
2.	Academic year 2016 to 2017 LA per pupil rate	£3,231.39	£4,632.80	£5,585.14		
3.	Percentage change	-2.48%	-2.52%	-2.10%	= 2 - 1 / 1	Percentage change in the per pupil rate between the two academic years.
4.	Academic year 2016 to 2017 number on roll	36	36	31		The total number of pupils on roll in the 2016 to 2017 academic year will be used to calculate the the total protection amount. High needs places are excluded.
5.	Funding protection floor	-1.5%	-1.5%	-1.5%		
6.	Does funding protection apply?	Yes	Yes	Yes	=IF(AND 4>0, 3<5, "Yes", "No")	This calculation determines whether a funding protection is payable based on a protection floor of -1.5%.
7.	Funding protection amount per phase	£1,169.02	£1,745.15	£1,061.12	= IF(6 = "Yes", (5 – 3) x 1 x 4)	This shows the amount of protection payable by phase.
8.	<b>Total funding protection amount – full year</b>	<b>£3,975.29</b>			= 7a + 7b + 7c	This shows the total amount of protection payable by adding the amounts payable in each phase.
9.	<b>Total funding protection 365 days -opening date 1 September 2016</b>	<b>£3,975.29</b>			= 8 x 365 days / 365 days	The total ESG allocation proportioned from the time you open until the end of the academic year, 31 August 2017.

## Table C – education services grant (ESG)

ESG is allocated on a simple per pupil basis. It is payable for the total number of pupils from nursery to year 14. The pupil number is derived from your estimated pupil numbers for academic year 2016 to 2017, shown on your financial plan. ESG includes the number of pupils in a designated high needs unit within a mainstream free school.

The rate for mainstream academies in the 2016 to 2017 academic year is £77 per pupil.

ESG is paid to academies to cover the cost of the services that local authorities provide centrally to maintained schools but which academies must secure independently. These may include education welfare, HR, audit and asset management.

### Sample Table C – academic year 2016 to 2017 education services grant

Line		Value	Calculation	Explanation
1.	Academic year 2016 to 2017 estimated pupil numbers	108		Total pupil numbers including nursery and sixth form pupils.
2.	ESG basic rate per pupil	£77.00		£77 per pupil in 2016 to 2017.
3.	Academic year 2016 to 2017 education services grant allocation	£8,316.00	= 1 x 2	Total ESG allocation calculated by a simple multiplication of pupil numbers by the per pupil rate.
4.	<b>ESG allocation 365 days pro rata</b>	<b>£8,316.00</b>	<b>=(3 / 365 days x 365 days)</b>	The total ESG allocation proportioned from the time you open as an academy until the end of the academic year, 31 August 2017. For academies open on 1 September 2016 this will be equivalent to the figure in [3].

## **Table D – post-opening grant (start-up grant)**

Table D will only be populated if you are due to receive start-up grant or post-opening grant funding in the 2016 to 2017 academic year.

### **Start-up grant (SUG)**

SUG is paid to full sponsored academies only. These lines will not therefore be populated in your statement.

### **Post-opening grant (POG)**

The post-opening grant is for free schools, studio schools and UTCs that meet the eligibility criteria. It is funding in addition to the per-pupil funding to reflect the additional essential costs of establishing a brand new school. The post-opening grant is paid in two parts: the per-pupil non-staffing resources element, to cover items such as buying books and equipment; and the leadership element, to meet the costs of employing key staff as the school builds up its cohorts over time. Further information about the post-opening grant can be found in revenue funding guides for [mainstream free schools](#), [16-19 free schools](#), [UTCs](#), and [studio schools](#).

## Sample Table D – academic year 2016 to 2017 post-opening grant (start-up grant)

Line		Value	Calculation	Explanation
1.	Start-up grant part A	£0.00		For academies that opened from April 2013 this is a one-off payment.
2.	Start-up grant part B – formulaic allocation	£0.00		For academies that opened from April 2013 the total part B value will be paid in the first 3 years after opening for secondary and the first 2 years after opening for primary academies.
3.	Start-up grant part B – assessment	£0.00		
4.	Post-opening grant – per pupil resources	£60,000.00		For free schools, UTCs and studio schools, this is the total of the resource element of the POG.
5.	Post-opening grant – leadership diseconomies	£125,000.00		For free schools, UTCs and studio schools, this is the total of the diseconomies element of the POG.
<b>6.</b>	<b>Total post-opening grant (start-up grant) allocation</b>	<b>£185,000.00</b>	<b>= 1 + 2 + 3 + 4 + 5</b>	The sum of SUG or POG elements as applicable.





## **Table E – pre-16 high needs place funding**

This table will only be populated for those mainstream academies that have designated special units.

High needs funding for designated units in mainstream academies is calculated on a simple per-place basis.

In the 2016 to 2017 academic year we will base your funding on the agreed estimates in your financial plan.

This place funding provides a base level of funding. Any additional funding above this level (top-up funding) must be agreed with your commissioning local authority. Top-up funding is paid by the local authority and is therefore not shown on your GAG funding statement.

## Sample Table E – academic year 2016 to 2017 pre-16 high needs place funding

Type		Place numbers	Annual per place unit value	Total pre-16 allocation	Allocation to August 2017 (as total allocation for academies open on 1 September 2016)	Calculation	Explanation
1.	Special	5	£10,000.00	£50,000.00	£50,000.00		<p><b>Place numbers:</b> agreed place numbers for 2016 to 2017</p> <p><b>Unit value:</b> £10,000</p> <p><b>Total allocation</b> = place numbers x unit value</p> <p><b>Allocation to August 2017:</b> Total allocation x days open/365</p>
2.	Alternative Provision	0	£10,000.00	£0.00	£0.00		<p><b>Place numbers:</b> agreed place numbers for 2016 to 2017</p> <p><b>Unit value:</b> £10,000</p> <p><b>Total allocation</b> = place numbers x unit value</p> <p><b>Allocation to August 2017:</b> Total allocation x days open/365</p>
3.	<b>Total pre-16 high needs allocation (365 days)</b>			<b>£50,000.00</b>	<b>£50,000.00</b>	<b>= 1 + 2</b>	Total pre-16 allocation (special) + total pre-16 allocation (alternative provision), proportioned from the time you open as an academy until the end of the academic year, 31 August 2017. For schools opening on 1 September, this will be the full year allocation.

## **Table F – post-16 high needs place funding**

This table will only be populated for those mainstream academies that have post-16 pupils in designated special units.

High needs funding for post-16 pupils in designated units in mainstream academies is calculated on a simple per-place basis. This is paid in two elements: £6,000 per place which is paid through the high needs block (and shown in Table F) and the per pupil amount paid at the national funding formula rate (included in the 16-19 allocation lines shown on the summary table of your statement).

In the 2016 to 2017 academic year we will base your funding on the agreed estimates in your financial plan.

This place funding provides a base level of funding. Any additional funding for post-16 high needs above this level (top-up funding) must be agreed with your commissioning local authority. Top-up funding is paid by the local authority and is therefore not shown on your funding statement.

## Sample Table F – academic year 2016 to 2017 post-16 high needs place funding

Place numbers	Annual per place unit	Total post-16 allocation	Allocation to August 2017 (as total allocation for academies open on or before 1 September 2016)	Explanation
0	£6,000.00	£0.00	£0.00	<p><b>Place numbers:</b> agreed place numbers for 2016 to 2017</p> <p><b>Unit value:</b> £6,000</p> <p><b>Total post-16 allocation</b> = place numbers x unit value</p> <p><b>Allocation to August 2017:</b> total allocation x days open/365</p>
<b>Total post-16 high needs allocation (00 months pro-rated to 31 August 2017)</b>			<b>£0.00</b>	Total post-16 allocation, proportioned from the time you open as an academy until the end of the academic year, 31 August 2017. For schools opening on 1 September, this will be the full year allocation.

Further information on [high needs funding arrangements](#) for 2016 to 2017 is available.

## **Table G – pupil number matrix**

Table G shows the pupil numbers used in the various calculations. This should reflect the estimated pupil numbers shown on your financial plan and any agreed high needs places. Within your allocation the number of pupils attracting the various funding elements may differ. For example, the calculations for SBS do not include nursery or post-16 pupils. These pupils are, however, included in the calculations for ESG.

In mainstream free schools, pupils in designated special units or resourced provision are not included in the calculation of SBS pupil-led factors. These pupils are funded separately under the place funding system. They are, however, included in the calculation of ESG, although they attract the mainstream ESG rate.

The pupil counts are taken from the final validated free school financial plan.

### Sample Table G - academic year 2016 to 2017 pupil matrix

	<b>Nursery 1</b>	<b>Reception uplift 2</b>	<b>Primary 3</b>	<b>Secondary 4</b>	<b>Post-16 5</b>	<b>High needs places 6</b>	<b>Total</b>	<b>Calculation</b>
<b>School budget share (SBS)</b>	N/A	0	31	72	N/A	5	98	<b>= 2 + 3 + 4 - 6</b>
<b>Education Services Grant (ESG)</b>	0.00	N/A	31	72	0	N/A	103	<b>= 1 + 3 + 4 + 5</b>

## Funding outside the GAG

The previous sections explain the elements that make up your GAG funding. As a free school you will receive other revenue funding that is not part of your GAG. This includes:

- [early years funding](#) - paid by the local authority to academies with a nursery class through the early years single funding formula (EYSFF)
- national non domestic rates (NNDR) - paid on receipt of a claim made using an [online form](#) in a single amount outside of the SBS
- [pupil premium](#)- paid in four instalments by the EFA
- [PE and sport premium for primary schools](#) - paid by the EFA in the autumn term
- [universal infant free school meals](#)– paid in two instalments by the EFA to academies with infant classes
- high needs top-up funding - paid by the local authority where required. Information about the process for the 2016 to 2017 academic year [high needs funding arrangements](#) is available.

Further information about [revenue funding payments for academies](#) is available.

In addition your school may receive [capital funding](#) from the EFA.

## Risk protection arrangement (RPA)

Free schools, UTCs and studio schools can opt in to the RPA now, to start in any month up to 1 August 2017. If you have not yet opened any expression of interest to opt in should be made through your DfE lead contact

If you are a member of [RPA](#) any adjustment made to your funding will be shown on your monthly pay schedule. It is not shown on your GAG statement as it does not affect your allocation, but does affect the amount you will receive on a monthly basis. If you opt into RPA after the allocation was published you will not receive an adjusted GAG statement, but your monthly pay schedule will be reissued.





Education  
Funding  
Agency

© Crown copyright 2016

This publication (not including logos) is licensed under the terms of the Open Government Licence v3.0 except where otherwise stated. Where we have identified any third party copyright information you will need to obtain permission from the copyright holders concerned.

To view this licence:

visit [www.nationalarchives.gov.uk/doc/open-government-licence/version/3](http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3)

email [psi@nationalarchives.gsi.gov.uk](mailto:psi@nationalarchives.gsi.gov.uk)

write to Information Policy Team, The National Archives, Kew, London, TW9 4DU

About this publication:

enquiries [www.education.gov.uk/contactus](http://www.education.gov.uk/contactus)

download [www.gov.uk/government/publications](http://www.gov.uk/government/publications)

Reference: EFA-00150-2016



Follow us on Twitter:  
[@educationgovuk](https://twitter.com/educationgovuk)



Like us on Facebook:  
[facebook.com/educationgovuk](https://facebook.com/educationgovuk)