



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withdrawn as it is out of  
date.**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 academies  
opening between 1 April 2016 and 31  
August 2016**

**April 2016**

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## Introduction

This operational guide helps you understand how the Education Funding Agency (EFA) has calculated your 2016 to 2017 academic year funding. It updates last year's guidance, setting out the small number of changes to academy funding we have introduced this year. 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. You will notice small changes to some of the tables, but we have kept these to a minimum to allow headline year-on-year comparisons.

## 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 '[What's new?](#)' section shows the changes to academy funding in the 2016 to 2017 academic year at a glance, and where the change is reflected in your GAG statement. 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 academies open between 1 April 2016 and 31 August 2016, including those with designated special units and resourced provision. Separate guidance is available for [special and alternative provision academies](#) opening between 1 April 2016 and 31 August 2016.

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

## Further information

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

## What's new in the 2016 to 2017 academic year?

The changes to funding in 2016 to 2017 are summarised below and you can find more information on the technical aspects of these in subsequent chapters.

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.

## Changes to the funding formula and your GAG statement

There is a small number of changes to the funding methodology for 2016 to 2017 which are set out below. Note that this does not include any local changes made by the local authority in discussion with the schools forum.

What's new?	What does this mean?	How will this be reflected in my GAG statement?
Local authorities using Income Deprivation Affecting Children Index (IDACI) for the deprivation factor will need to use the updated index published in September 2015.	IDACI is only updated every 5 year 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.	The unit values used and resulting deprivation allocation will be shown in Table A.
Change to the education services grant (ESG) rate.	A reduction in the ESG rate from £87 to £77 for mainstream academies and free schools.	The new ESG rate is used in the calculation in Table C.
Change to the ESG protection thresholds.	The ESG tapered protection continues but the thresholds have been updated to reflect the ESG rates received by academies in the previous two academic years.	The ESG protection is set out in Table E.

## 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 H **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
Minimum funding guarantee	£0.00	See Table B
Education services grant	£0.00	See Table C
Post-opening grant (start-up grant)	£0.00	See Table D
ESG protection	£0.00	See Table E

<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 F
Post-16 high needs place funding	£0.00	See Table G
<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
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

We wrote to open academies with sixth forms about [16 to 19 funding for the academic year 2016 to 2017](#) in January 2016. In this letter we set out the 16 to 19 funding formula, funding rates and the allocations timeline.

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.

Further information about [16 to 19 funding allocations](#) is also available.

## 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 either from your autumn 2015 validated school census return or your agreed estimate of pupil numbers for the 2016 to 2017 academic year, depending on the terms of your funding agreement. However, where the local authority notifies us of variations in school census numbers (through their authority proforma tool, for planned growth or infrastructure changes) then these will be used to calculate your allocation. [Table H](#) gives further information about the pupil numbers we use in the calculation of your allocation.

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

## 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, however.

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.

**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:** this is a proportioned amount based on the full 2016 to 2017 financial year amount calculated by the local authority. It is based on the number of days between the date the academy opened and the end of the academic year on 31 August 2016. The heading will be adapted according to the opening date

of the academy. For academies opening on or before the 1 September 2016, this will be equivalent to the full year funding amount.

**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 local authorities to schools through the funding formula. Maintained schools collectively may then pass back, or de-delegate, funding to the local authority for certain services to be provided centrally, with the approval of the schools forum. A list of those services for which funding can be de-delegated can be found in the [schools funding 2016 to 2017 operational guide](#).

In order to give the local authority time to plan services, some de-delegated funds are retained by local authorities after maintained schools convert to academy status. In these cases, new academies do not receive the de-delegated funds until an agreed point later in the year. Until this point local authorities should continue to provide services to new academies where funding is de-delegated, if they are asked to do so.

Academies that opened on 1 April 2016 receive all of the previously de-delegated funds from April to August 2016. They will continue to do so in their 2016 to 2017 academic year and subsequent allocations.

Academies that open after 1 April and before 1 September 2016 will not receive any previously de-delegated funding in the 2015 to 2016 academic year. They will,



though, receive all of the previously de-delegated funds in their 2016 to 2017 academic year allocation. For these academies, local authorities should continue to provide services for which funding is de-delegated until September 2016, if they are asked to do so. If the local authority is unable to provide the requested service then they could, alternatively, pay the funding directly to the academy.

## 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 or before 1 September 2016)	Explanation
<b>1. Basic entitlement age weighted pupil unit (AWPU)</b>	Primary (including reception)	£596,217.30	£596,217.30	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.  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.
	Key stage 3	£617,881.95	£617,881.95	
	Key stage 4	£0.00	£0.00	
<b>2. Deprivation</b>	Primary IDACI band 1	£400.78	£400.78	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.  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 2	£0.00	£0.00	
	Primary IDACI band 3	£998.10	£998.10	
	Primary IDACI band 4	£404.61	£404.61	
	Primary IDACI band 5	£0.00	£0.00	

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on or before 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	£1,108.36	£1,108.36	
	Secondary IDACI band 2	£363.39	£363.39	
	Secondary IDACI band 3	£901.28	£901.28	
	Secondary IDACI band 4	£0.00	£0.00	
	Secondary IDACI band 5	£0.00	£0.00	
	Secondary IDACI band 6	£0.00	£0.00	
	Primary free school meals (FSM)	£7,610.94	£7,610.94	<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 or before 1 September 2016)	Explanation
	Primary FSM6	£0.00	£0.00	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	£3,025.98	£3,025.98	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	£0.00	£0.00	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.
<b>3. Looked- after children (LAC)</b>	LAC	£1,135.09	£1,135.09	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.

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on or before 1 September 2016)	Explanation
<b>4. Prior attainment</b>	Primary attainment: primary low attainment 73 or 78 points (see details of factor in Table A.1)	£29,506.24	£29,506.24	<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. Table A.1 provides more information.</p>
	Secondary attainment: secondary pupils not achieving KS2 level 4 English or maths	£30,120.79	£30,120.79	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.
	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

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on or before 1 September 2016)	Explanation
<b>5. English as an additional language (EAL)</b>	Primary EAL band 2	£0.00	£0.00	the pupil joins statutory education in England. This does not include reception. 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.
	Primary EAL band 3	£446.80	£446.80	
	Secondary EAL band 1	£0.00	£0.00	
	Secondary EAL band 2	£0.00	£0.00	
	Secondary EAL band 3	£434.26	£434.26	
<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%)	£318.75	£318.75	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.
	Secondary pupils starting school outside of normal entry dates (proportion above 10%)	£0.00	£0.00	
<b>Total pupil-led factors</b>		<b>£1,290,874.62</b>	<b>£1,290,874.62</b>	

Factor	Description	Full year funding amount	Part year funding amount (as full year for academies open on or before 1 September 2016)	Explanation
7. Sparsity	Sparsity funding (see further details in Table A.2)	£8,747.66	£8,747.66	<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 or before 1 September 2016)	Explanation
<b>8. Lump sum</b>	Lump sum	£0.00	£0.00	<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	£36,460.00	£36,460.00	<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 or before 1 September 2016)	Explanation
<b>10. Private finance initiative (PFI)</b>	PFI	£185,071.00	£185,071.00	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. Academies with sixth forms will continue to be funded through the post-16 national funding formula.
<b>12. London fringe</b>	London fringe	£9,662.45	£9,662.45	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 or before 1 September 2016)	Explanation
<b>Total other factors</b>		<b>£239,941.11</b>	<b>£239,941.11</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	£4,500.00	£4,500.00	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 or before 1 September 2016)</b>	<b>Explanation</b>
	<b>Total school budget share (excluding rates)</b>	<b>£1,535,315.73</b>	<b>£1,535,315.73</b>	
	<b>of which notional SEN budget</b>	<b>£127,738.71</b>	<b>£127,738.71</b>	
	<b>funding previously delegated</b>	<b>(£5,493.38)</b>	<b>(£5,493.38)</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 – minimum funding guarantee (MFG)

Table B sets out how your minimum funding guarantee (MFG) is calculated.

The EFA adjusts the 2016 to 2017 financial year allocation calculated by the local authority, proportioned from the time you open as an academy until the end of the academic year 31 August 2017. For academies that open between April and August 2016, the amount shown is based on your financial year 2016 to 2017 allocation from your local authority and will be for the whole of the academic year.

The MFG is a protection against changes in per pupil schools budget share (SBS) funding between 2015 to 2016 and 2016 to 2017.

The amount of protection will vary according to the impact of local changes in the funding formula and the effect of these on individual per pupil rates. The floor remains at -1.5% for 2016 to 2017.

To determine whether to apply the MFG we calculate and compare the MFG per pupil values for the two academic years. If there is a fall in funding of more than 1.5% per pupil the fall is capped at this rate.

As the MFG calculation operates at a per pupil level, not on the overall SBS, we do not protect falling budgets caused by a reduction in pupil numbers.

MFG is not calculated for special and alternative provision academies, as these are funded for the number of agreed high needs places.

MFG applies to pupils in reception to year 11, excluding any reception uplift if it is applied by the local authority.

### Exclusions and adjustments

A number of exclusions and adjustments are applied to the respective SBS to ensure a valid comparison.

#### Exclusions

The funding lines automatically excluded from the MFG calculation are:

- early years funding – this is paid by the local authority and not included in the SBS
- post-16 funding – this has its own form of protection
- the lump sum – this is not treated as a per pupil amount because for small schools the lump sum forms a significant amount per pupil. If it were included in the MFG calculation it would build in excessive protection where a school is increasing its numbers
- the sparsity factor - sparsity is similar to the lump sum in its purpose and therefore including it would distort the protection that MFG provides

- high needs pupils in designated units within a mainstream setting
- national non-domestic rates (NNDR) - these are paid on receipt of a claim using an [online form](#), and paid in a single amount outside of the SBS
- funding received through the historic sixth form factor

Any additional lump sum funding received in the 2015 to 2016 academic year by academies that amalgamated during the 2014 to 2015 academic year is deducted from the baseline only. Any additional lump sum funding in the 2016 to 2017 academic year for academies amalgamating in 2015 to 2016 is excluded from the 2016 to 2017 MFG budget, but not the baseline.

If local authorities wish to exclude any additional funding lines from the MFG calculation - from either the 2015 to 2016 baseline funding or the 2016 to 2017 academic year funding - they must make an exceptional case to the EFA. An example of an approved MFG exclusion is where a school would be receiving split site funding for the first time in the 2016 to 2017 academic year. This exclusion allows the school to receive the full benefit of the additional funding. Similarly, where a school will no longer be operating on a split site in 2016 to 2017 the local authority may wish to exclude the split site funding from the baseline for 2015 to 2016 when calculating the MFG, so that the protection does not include funding for which the school is no longer eligible.

## Technical adjustments

Local authorities can make technical adjustments to the 2015 to 2016 baseline to make this comparable with 2016 to 2017 funding in certain exceptional circumstances. These relate to changes in delegation – for example where a budget was previously funded centrally and is now delegated into the funding formula, or where funding has been moved to the high needs block to commission AP places for schools as well as for the local authority.

## Capping and scaling – affordability adjustments

Local authorities are able to cap and/or scale back overall gains for individual schools to make the funding formula affordable. The cap is the limit to which any per pupil gains in SBS can be retained by the school or academy. The scale is the degree to which gains above the cap will be scaled back in the calculation. Local authorities in consultation with their schools forums determine whether and how to limit gains.

For example:

- a 4% cap and 40% scaling means gains up to 4% are kept by schools, and any gains above 4% are scaled back by 40%
- a 10% cap and 100% scaling means all gains above 10% are removed

- a 0% cap and 70% scaling means all gains are scaled back by 70%

Your SBS includes all gains before any MFG is applied. Any adjustments made as a result of capping or scaling will appear as a negative amount on your summary table.

Capping and scaling will not be applied to new schools if they have opened in the last 7 years and do not have all year groups present.

## Sample Table B – academic year 2016 to 2017 minimum funding guarantee

Line		Value	Calculation	Explanation
1.	Academic year 2016 to 2017 school budget share	£7,918,773.50	From Table A	This is the school budget share shown in your Table A. It is the 2016 to 2017 financial year allocation calculated by the local authority adjusted pro rata for the remainder of the 2016 to 2017 academic year.
2.	MFG adjustment - full year	£78,354.48		This is the calculation made by the local authority for the whole 2016 to 2017 financial year. If a local authority has applied capping or scaling then this would appear as a deduction.
3.	Pupil numbers used in original MFG calculation	369		
4.	Number of pupils actually funded	369		This shows the total number of pupils being funded.
5.	MFG adjustment – 365 days pro rata	£78,354.48	$= (2 \times 365) / 365 \times (4 / 3)$	This is the total MFG adjustment, proportioned from for the number of days your academy is open between 1 September 2016 and the end of the academic year, 31 August 2017. For academies open on or before 1 September 2016 this will be equivalent to the figure in [2].
<b>6.</b>	<b>Adjusted academic year 2016 to 2017 school budget share</b>	<b>£79,97127.98</b>	<b>= 1 + 5</b>	



## 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 either the autumn 2015 school census or your estimated pupil numbers for academic year 2016 to 2017, depending on your funding agreement. Note that pupils in high needs places in a designated special unit within a mainstream academy are not excluded from the total pupil count for the ESG calculation.

The rate for mainstream academies in the 2016 to 2017 academic year is £77 per pupil. There is a protection against the impact of significant reductions in your ESG allocation, which is explained in Table E.

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 school improvement, education welfare, audit and asset management.

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

Line		Value	Calculation	Explanation
1.	Autumn 2015 census pupil numbers or, where applicable, academic year 2016 to 2017 estimated pupil numbers	1392.6		Total pupil numbers including nursery and sixth form pupils.
2.	ESG basic rate per pupil	£77.0		£77 per pupil in 2016 to 2017.
3.	Academic year 2016 to 2017 education services grant allocation	£107,230.20	= 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>£107,230.20</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 or before 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 sponsored academies. From September 2013 this was limited to full sponsored academies only.

There are two elements, part A and part B. Part A is a flat rate allocation that is paid in the first year of opening. Part B is a formulaic allocation that is intended to contribute to costs, such as leadership, as a new academy grows towards full capacity. It is paid over 2 years for primary schools and 3 years for secondary schools.

Academies that opened before 1 September 2013 were allowed to apply, or bid, for additional part B funding. Their applications were assessed against the criteria for their particular year of opening. The specific detail of this assessment element is not described in the funding statement, but would have been explained to the academy in writing when they opened.

The part A rates and the calculation of part B are different for primary and secondary, and for special and alternative provision academies. More information is available in [Sponsored academies funding: advice for sponsors](#).

### Post-opening grant (POG)

POG is paid to free schools, studio schools and university technical colleges. These lines will not therefore be populated in your statement. POG is intended to enable these new schools to cover the initial costs of opening, such as buying books and equipment. Like SUG, it includes an element to contribute to costs, such as leadership, as a new school grows towards full capacity.

## 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	£102,192.60		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	£0.00		For free schools, UTCs and studio schools, this is the total of the resource element of the POG.
5. Post-opening grant – leadership diseconomies	£0.00		For free schools, UTCs and studio schools, this is the total of the diseconomies element of the POG.
<b>6. Total post-opening grant (start-up grant) allocation</b>	<b>£103,609.60</b>	<b>= 1 + 2 + 3 + 4 + 5</b>	The sum of SUG or POG elements as applicable.



## **Table E - education services grant (ESG) protection**

The ESG rate for 2016 to 2017 academic year is £77 per pupil with no top-up for academies. This is set out in Table C.

A tapered protection will be applied to provide continued protection against significant budget reductions as a result of changes to the ESG rate. The protection ensures that the reduction in funding resulting from these changes cannot be greater than a specified percentage of the total allocation on a per pupil basis. An academies total allocation in this case is defined as the total of SBS, MFG, ESG, ESG protection, post-16 funding (excluding student financial support funding).

The percentage protection for an academy is determined by its level of ESG per pupil (ESG + ESG protection) in the 2015 to 2016 academic year. For academies that had no ESG protection the level of ESG per pupil would be £87; for others with ESG protection, the level of ESG per pupil will be higher.

The tapered protection is applied as follows:

- if the academy received up to and including £87 of ESG per pupil the protection rate will be -1% of the academy's total allocation
- if the academy received up to and including £140 of ESG per pupil the first £87 will be protected at -1% and the amount above £87 will be protected at -2% of the academy's total allocation
- if the academy received more than £140 ESG per pupil the first £87 will be protected at -1%, any amount above £87 and up to and including £140 will be protected at -2%, and any amount above £140 will be protected at -3% of the academy's total allocation

## Sample Table E – academic year 2016 to 2017 education services grant (ESG) protection

Line	Value	Calculation	Explanation
<b>E.1 Academic year 2016 to 2017 reduction rate</b>			
<b>Pupil numbers</b>			
1.	Academic year 2015 to 2016 pupil count: reception to post-16 excluding high needs places	179	Four separate pupil counts are used to calculate the amount of ESG protection the academy will receive in the 2016 to 2017 academic year. Pupil counts for both the 2015 to 2016 and 2016 to 2017 academic years are used as the calculation compares per pupil funding rates for each year. Pupil counts including and excluding high needs places are used as these pupils attract different funding elements.  The pupil count in line [1] excludes pupils in designated special units or resourced provision. It includes reception uplift if this was applied by the local authority.
2.	Academic year 2015 to 2016 pupil count: reception to post-16 including high needs places	179	This pupil count includes pupils in designated special units or resourced provision and reception uplift if this was applied by the local authority.
3.	Academic year 2016 to 2017 pupil count: reception to post-16 excluding high needs places	179	This pupil count excludes pupils in designated special units. It includes reception uplift if this was applied by the local authority.
4.	Academic year 2016 to 2017 pupil count: reception to post-16 including high needs places	179	This pupil count includes pupils in designated special units or resourced provision and reception uplift if this was applied by the local authority.
<b>Academic year 2015 to 2016 total allocation unit values</b>			

Line		Value	Calculation	Explanation
5.	Academic year 2015 to 2016 school budget share	£671,346.46		This step calculates the total 2015 to 2016 allocation in per pupil terms. Line [5] is the amount of school budget share received in the 2015 to 2016 academic year. This is shown in Table A of your 2015 to 2016 funding statement.
6.	Academic year 2015 to 2016 minimum funding guarantee / affordability adjustment	£0.00		This is the amount of MFG paid in the 2015 to 2016 academic year (if applicable) as shown in Table B of your 2015 to 2016 funding statement. If an affordability adjustment was made through capping and scaling this will be shown as a negative amount.
7.	Academic year 2015 to 2016 ESG	£15,573.00		This is the total ESG received for the 2015 to 2016 academic year for pupils from reception to post-16. This may not equate to your ESG allocation in 2015 to 2016 as shown on your 2015 to 2016 funding statement because it excludes any nursery pupils that may have been present.
8.	Academic year 2015 to 2016 ESG protection	£12,740.78		This is the total amount of ESG protection received in the 2015 to 2016 academic year. This protected per pupil funding against losses resulting from the fall in the ESG rate and the SEN LACSEG adjustment.
9.	Academic year 2015 to 2016 post-16 allocation (total funding excluding student financial support funding)	£0.00		This is the total post-16 allocation for the 2015 to 2016 academic year excluding student financial support funding. This is shown in the summary table of your 2015 to 2016 funding statement.

Line		Value	Calculation	Explanation
10.	Academic year 2015 to 2016 total allocation adjusted unit value	£3,908.72	$= ((5 + 6 + 9) / 1) + ((7 + 8) / 2)$	<p>This is the total per pupil allocation for the 2015 to 2016 academic year. If the academy is to receive a protection amount in the 2016 to 2017 academic year the percentage protection rate will be applied to this figure multiplied by the number of pupils on roll for the 2016 to 2017 academic year.</p> <p>Each funding element is divided by the number of pupils attracting that element. The SBS, MFG and post-16 allocation are divided by the number of pupils on roll excluding high needs pupils as these pupils attract high needs place funding. The ESG and ESG protection are divided by the number on roll including high needs pupils.</p>
<b>ESG per pupil rates and change between academic years 2015 to 2016 and 2016 to 2017</b>				
11.	Academic year 2015 to 2016 ESG per pupil rate	£87.00		This step calculates the difference between the academic year 2015 to 2016 and 2016 to 2017 ESG rates. Line [11] is the ESG rate per pupil for 2015 to 2016 which is equal to £87.
12.	Academic year 2016 to 2017 ESG per pupil rate	£77.00		This is the rate of ESG per pupil for 2016 to 2017 (£77).
13.	Change to ESG rate between academic years 2015 to 2016 and 2016 to 2017	(£10.00)	$= 12 - 11$	This is the reduction in the ESG per pupil rate between the two academic years (£10).
<b>Academic year 2016 to 2017 adjusted reduction unit value</b>				
14.	Change to ESG rate between academic years 2015 to 2016 and 2016 to 2017	(£10.00)	$= 13$	As [13] this is the reduction in the ESG per pupil rate between the two academic years (£10).



Line		Value	Calculation	Explanation
15.	Removal of academic year 2015 to 2016 ESG protection	(£12,740.78)	= 8	The removal of the 2015 to 2016 ESG protection is used to calculate the potential reduction in an academy's funding between the 2015 to 2016 and 2016 to 2017 academic years.
16.	Academic year 2016 to 2017 adjusted reduction unit value	(£81.18)	= 14 + ((-1 x 15) / 4)	This line shows the potential reduction in the academy's funding without any protection. It is divided by the number of pupils on roll including high needs places to show the reduction per pupil.
17.	Academic year 2016 to 2017 reduction rate (loss) = adjusted reduction as a proportion of total allocation adjusted unit value	-2.08%	= 16 / 10	This shows the reduction per pupil as a proportion of the total allocation received in the 2015 to 2016 academic year. It shows the proportion of the academy's academic year 2015 to 2016 per pupil allocation they would lose without protection.
<b>E.2 Academic year 2016 to 2017 tapered protection</b>				
<b>Academic year 2015 to 2016 funding rate</b>				
18.	Academic year 2015 to 2016 ESG	£15,573.00	= 7	This step calculates the tapered protection rate for the academy's 2016 to 2017 academic year funding. As [7] this line shows the total ESG received for academic year 2015 to 2016 for pupils from reception to post 16.
19.	Academic year 2015 to 2016 ESG protection	£12,740.78	= 8	As [8] the amount of ESG protection received in academic year 2015 to 2016. This is shown in Table E of your 2015 to 2016 funding statement.
20.	Academic year 2015 to 2016 pupil count: pupil numbers used to allocate ESG (excluding nursery pupils)	179	= 2	As [2] the number of pupils attracting ESG for academic year 2015 to 2016 from reception to post-16 including pupils in designated special units and reception uplift if applicable.

Line		Value	Calculation	Explanation
21.	Academic year 2015 to 2016 funding rate	£158.18	$= (18 + 19) / 20$	The funding rate for academic year 2015 to 2016 is made up of the amount of ESG (excluding that for nursery pupils), and the amount of ESG protection received. This is divided by the number of reception to year 11 pupils attracting ESG for that year to show the funding rate per pupil.
<b>Academic year 2016 to 2017 tapered protection</b>				
22.	Condition 1	1%		The conditions and thresholds refer to the protection rates and the level of ESG (including SEN LACSEG and transitional protection) these apply to. Condition 1 is the lowest rate of protection of 1%
23.	Threshold 1	£87		Threshold 1 is £87
24.	Condition 2	2%		Condition 2 is 2%
25.	Threshold 2	£140		Threshold 2 is £140
26.	Condition 3	3%		Condition 3 is 3%
<b>Academic year 2016 to 2017 adjusted reduction unit value</b>				
27.	Funding rate up to and including threshold 1 is protected against losses below condition 1	-0.55%	$= -1 \times (\text{MIN}(23,21) / 21) * 22$	The 2016 to 2017 allocation reduction floor is the maximum loss to an academy's funding between the 2015 to 2016 and 2016 to 2017 academic years. For each academy this is calculated by applying the protection rates (conditions) to the relevant part of the 2015 to 2016 academic year per pupil funding rate. The 2015 to 2016 funding rate up to and including £87 is protected at -1%.
28.	Funding rate beyond threshold 1 up to and including threshold 2 is protected against losses below condition 2	-0.67%	$= -1 \times (\text{MIN}((25-23),(21-23)) / 21) * 24$	The 2015 to 2016 funding rate above £87 and up to and including £140 is protected at -2%.

Line		Value	Calculation	Explanation
29.	Funding rate beyond threshold 2 is protected against losses below condition 3	-0.34%	$= -1 \times \frac{(\text{MAX}(0, 21 - 25) / 21) * 26}{26}$	The 2015 to 2016 funding rate above £140 is protected at -3%.
30.	Allocation reduction floor	-1.56%	$= 27 + 28 + 29$	This line shows the maximum per pupil loss to the academy's funding between the two academic years resulting from the reduction in ESG.
<b>E.3 Academic year 2016 to 2017 ESG protection calculation</b>				
<b>Academic year 2016 to 2017 ESG protection</b>				
31.	Extent to which academic year 2016 to 2017 reduction rate falls below the allocation reduction floor	0.51%	$= \text{IF}(30 < 17, 0, 30 - 17)$	This shows how much the per pupil funding has dropped beyond the threshold shown in Line [32] between the two academic years.
32.	Academic year 2016 to 2017 ESG protection	£3,581.77	$= 31 \times 10 \times 4$	This line shows the total protection amount the academy will receive in the 2016 to 2017 academic year. It is calculated by applying the protection rate to the total 2015 to 2016 allocation per pupil multiplied by the academic year 2016 to 2017 pupil numbers.

## **Table F – 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 roll forward your 2015 to 2016 academic year place numbers and use these to calculate your allocation. The exception to this is where your local authority has requested a change in pre-16 place numbers which was agreed with you (or accepted by the EFA where there was disagreement). In this instance we would use this changed figure in your allocation.

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 F – 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 or before 1 September 2016)	Calculation	Explanation
1.	Special	12	£10,000.00	£120,000.00	£120,000.00		<p><b>Place numbers:</b> rolled forward 2015 to 2016 places (or agreed place numbers where a change in place numbers has been requested).</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> rolled forward 2015 to 2016 places (or agreed place numbers where a change in place numbers has been requested).</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>£120,000.00</b>	<b>£120,000.00</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.

## Table G – 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 G) 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).

We will roll forward your 2015 to 2016 academic year place numbers and use these to calculate your 2016 to 2017 academic year allocation. Any agreed changes to place numbers will have been applied to the pre-16 numbers.

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 G – 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
20	£6,000.00	£120,000.00	£120,000.00	<p><b>Place numbers:</b> rolled forward post-16 2015 to 2016 places.</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 (12 months)</b>			<b>£120,000.00</b>	Total post-16 allocation, proportioned from the time you open as an academy until the end of the academic year, 31 August 2017.

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

## Table H – pupil number matrix

Table H shows the pupil numbers used in each of the calculations. The main sources of pupil numbers are the autumn 2015 census, estimates provided by academies and agreed high needs places. Within your allocation the number of pupils attracting the various funding elements may differ. For example, the calculations for school budget share (SBS) do not include nursery or post-16 pupils. These pupils are, however, included in the calculations for the education services grant (ESG).

In mainstream academies, 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. Note that the removal of pupils in designated special units from the school budget share pupil count is on the basis of 2015 to 2016 academic year place numbers (excluding those not registered at the school).

Your local authority can opt to apply a reception uplift to your pupil numbers. The pupils counted in the reception uplift are also counted in all other primary pupil-led factor calculations in the SBS. They are not, however, included in the calculation of ESG or MFG.

For census-funded academies, pupil numbers are taken from the autumn 2015 validated school census using single registration at the school and current main - dual registration. However, where the local authority notifies us of variations in school census numbers (through their authority proforma tool, for planned growth or infrastructure changes) then these will be used to calculate your allocation.

For estimate-funded academies pupil numbers are drawn from the final validated revenue funding data collection (RFDC) dataset.



## Sample Table H - 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	425	940	N/A	12	1,353	<b>= 2 + 3 + 4 - 6</b>
<b>Minimum funding guarantee (MFG)</b>	N/A	N/A	425	940	N/A	12	1,353	<b>= 3 + 4 - 6</b>
<b>Education Services Grant (ESG)</b>	27.6	N/A	425	940	0	N/A	1,392.6	<b>= 1 + 3 + 4 + 5</b>
<b>ESG protection</b>	N/A	0	425	940	0	12	1,353	<b>= 2 + 3 + 4 + 5 - 6</b>

## Funding outside the GAG

The previous sections explain the elements that make up your GAG funding. As an academy 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 academy may receive [capital funding](#) from the EFA.

## Risk protection arrangement (RPA)

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.



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