



Education  
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# **Schools revenue funding 2016 to 2017:**

**Criteria for allocating the growth fund,  
falling rolls fund and targeted high needs  
funding**

**Version 1: July 2015**

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## Introduction

1. This document has been produced by the Education Funding Agency (EFA) to help local authorities and their schools forums set clear and objective criteria for allocating central funding to schools, such as targeted support for schools with disproportionate numbers of pupils with high needs, growth funding and falling rolls funding. It includes examples of local authorities' criteria which were approved as compliant for the financial year 2014-15. These examples were originally published in the operational guide for 2015-16.

2. Where a local authority retains central funding within the DSG, it must be used for the equal benefit of maintained schools and academies in the area.

## Targeted support above the notional SEN budget

3. Local authorities should continue to provide additional funding outside the main funding formula for mainstream schools and academies on a consistent and fair basis where the number of their high needs pupils cannot be reflected adequately in their formula funding and where it would be unreasonable to expect them to pay for the costs of the first £6,000 of additional support for all high needs pupils. Targeted support can also be provided where there are a disproportionate number of pupils with a type of SEN that is not able to be reflected in the local formula, even where the costs of meeting their needs are less than the £6,000 threshold. Criteria for allocating such support should be clear and as simple as possible, should apply to a minority of the authority's schools and academies (the formula should address the majority) and should avoid creating perverse incentives. Some examples of local authority criteria have been provided below as an aid to local authorities which are still formulating their criteria. Where authorities are considering modelling their own criteria on these examples, we would recommend that they contact the appropriate contributor to understand how the process has worked in practice.

### Cheshire West and Chester

4. Additional funding from the high needs budget will be distributed under the following criteria. A school's notional SEN budget must be sufficient to meet the first £6,000 of the cost of additional support for each high needs pupil on roll recognising any part year effect of starters and leavers. For schools up to and including 150 pupils, the notional SEN budget must also be sufficient to cover £6,000 for every 1:50 pupils. Therefore, additional funding will be made available from the high needs block if notional SEN < (number of high needs pupils \* £6,000) + (£6,000 for every 1:50 pupils for schools with 150 or fewer pupils). Reviews will be carried out on a termly basis.

### Derbyshire

5. In order to qualify for additional funding, a school's shortfall must be significant and in excess of 1% of the school's overall school budget and estimated income (i.e. Schools Block, EYSFF, Post 16 EFA formula and Growth Fund: KS1 Class Size funding). including balances brought forward. The school will self-fund the equivalent of the first 1% of this overall figure. shortfall.

There are 5 contextual considerations that are taken into account, as appropriate, for every contingency claim:

- a) The level of actual brought forward school balances and estimated year end school balances are insufficient to reasonably support the anticipated funding shortfall
- b) A 2 or 3 Year Budget Plan is not an appropriate way forward
- c) Redundancy is not the more appropriate option

- d) For claims that relate to an AEN/SEN issue, Special Educational Needs Teaching Assistant Training and Advice (SENTA) provision on a two to one (or greater if appropriate) ratio must be considered and demonstrated to be unsuitable. Schools do not have to provide the first 9.5 hours of a statement (deemed to be equivalent to the £6,000) on a one to one basis and it MAY be that the school is able to save funding by having two to one arrangements in some cases
- e) The school must identify how it has spent/will spend the published 'Notional SEN Budget'

6. One other consideration specific to SENTA claims is that the total number of stated SENTA hours <9.5 for pupils in Reception to Year 11 (i.e. the overall requirement for multiples of £6,000), when expressed as a proportion of all Reception to Year 11 pupils at the school, must be in the upper quartile for the whole sector.

Example: 4 pupils in a school of 100 have statements for more than 9.5 hours each.

$(4 \times 9.5\text{hrs}) = 38$  divided by 100 = 0.38 hours per all pupils

### **Gloucestershire**

7. Schools & Academies will be expected to contribute the first £6,000 of the additional educational support provision for high needs pupils and students from their delegated budget - this is over and above the cost of standard teaching and learning (which is funded by the age weighted pupil unit (AWPU). The number of high needs pupils for whom schools are expected to contribute will be restricted to one for every 75 pupils on roll, rounded to the nearest whole number. The £6,000 and 1 in 75 numbers will be adjusted for any pupils not present for the full year.

8. E.g. If NOR is 200 and the school have 4 high needs pupils who have each been assessed with additional high needs (above the AWPU) of £15,000. Then the responsibility for costs is:

- For first 3 pupils ( $200 \text{ NOR} \div 75$  & rounded) the school pays £18,000 (3 X £6,000) and the LA pays the rest as a high needs top up £27,000 (3 X £9,000)
- For the 4th pupil the LA pays £15,000 (both the £6,000 element and the £9,000 element) as a high needs top up

### **Hackney**

9. Additional funding is allocated to any primary school which has a higher than the threshold of pupils with statements. The threshold is the borough average + 1.03%. The data is taken from a count in each January, taken as a percentage of the previous October roll. The allocation is number of pupils over the threshold x £6,000 x 55% for a 1 FE; x 30% for a 2 FE and x 20% for a 2.5 FE school

## Herefordshire

10. A process has been agreed to help mitigate the impact on schools of having to fund the first £6,000 for each Band 3 & 4 pupil. For example, four band 4 pupils in a school would lead to additional expenditure of £24,000 (i.e. 4x £6,000).

11. An “MFG” style protection scheme based on limiting additional school expenditure on Band 3 & 4 pupils to 1.5% per pupil has been agreed. The average per pupil funding for primary pupils is approximately £4,000 and using this figure as a standard for all schools this per pupil funding amount converts to a maximum reduction of £60 per pupil at the MFG percentage of 1.5% in 2013/14. It is proposed to limit any primary school’s extra SEN costs as follows:

<b>Number of primary pupils</b>	<b>Maximum cost of “£6,000” SEN – primary schools</b>
50	£3,000
100	£6,000
150	£9,000
200	£12,000
250	£15,000
300	£18,000
400	£24,000
500	£30,000
600	£36,000

**Table 1: MFG protection in Herefordshire**

12. The cap on schools gaining through the funding formula will be reduced slightly in order to fund the costs of protection and a budget transfer will be made to the high needs block.

## Kirklees

13. The high needs budget will make additional support allocations to those schools which evidence disproportionality between the notional high needs funding assumed to be within their schools block formula allocation and the costs of providing for those high needs pupils. Such disproportionality will initially be defined as where the number of high needs SEN statement children comprises more than 2% of the school's overall number on roll and the school's notional SEN budget figure is less than 80% of the amount calculated by multiplying their number of high needs statement children by the expected £6,000 school contribution per child. Once a school is 'flagged up' by this method its

budget position will be scrutinised to firstly ensure that their high needs top-up funding accurately reflects the pupils' current needs and then to determine whether the school can meet its SEN responsibilities within its available resources. If the need for additional high needs budget support is proven then that allocation will be based upon the identified difference between that school's notional SEN funding amount and the result of multiplying their number of SEN statement children by £6,000. E.g. the school has a notional SEN budget figure of £47,523 and eleven statemented children on roll (11 x £6,000 =) £66,000. The difference would be rounded down to the next lowest multiple of £6,000 so the support allocation in this case would be £18,000. It is intended that the existing high needs budget would stand the cost of such allocations.

### **South Gloucestershire**

14. This allocation is based on a threshold of statemented support pupils (over a determined level of need), compared to the October 2013 school census number on roll, excluding resource base pupils. South Gloucestershire resident pupils and pupils resident in other local authorities are included in this calculation.

15. The threshold of high needs pupils to pupils on roll is currently set at 1.25% and at a rate of £6,000 per notional pupil.

16. For example, a school with 4 pupils over 106 units and 275 pupils as at the October 2013 census would receive the following:

- 4 pupils as a % of 275 = 1.4545%
- Less 1.25% = 0.2045%
- October 2013 pupil x 0.2045% = 0.56pupil
- 0.56 pupils x £6,000 = £3,375 per year or £281.24 per month
- High incidence funding will be recalculated when actual pupils are known

### **Southend**

17. Additional funding will be allocated to those schools which indicators suggest are experiencing the very highest incidence of low cost SEN in relation to all schools in the borough. The indicators to be used are the SEN register and the low attainment data used in setting the Local Formula, both are expressed as a percentage of the pupil population in a school. The two % scores will be averaged to produce a 'combined score'. Those schools whose 'combined score' exceeds thresholds expressed as % to be set at the 85th, 90th and 95th percentiles of the total population of Primary and Secondary schools will be deemed to be experiencing HILC SEN relative to the group. Funding will be awarded on a taper, where the 'combined score' will be multiplied by the NOR and rounded to the nearest whole pupil. The number of pupils between the first and second thresholds (set at the 85th and 90th percentiles) will attract £600/£350 each; primary/secondary, the number of pupils between the second and third thresholds (90th

and 95th percentiles) will attract £800/425, and the number of pupils exceeding the final threshold (95th percentile) will attract £1000/500.



## Growth criteria

18. Local authorities may topslice the DSG in order to create a Growth Fund to support schools which are required to provide extra places in order to meet basic need within the authority, including pre-opening, diseconomy and reorganisation costs. The growth fund may not be used to support schools in financial difficulty (any such support for maintained schools would be provided from a de-delegated contingency) or general growth due to popularity. Criteria for allocating growth funds should contain clear objective trigger points for qualification and a clear formula for calculating allocations. Compliant criteria would generally contain some of the features set out below:

- Support where a school or academy has agreed with the authority to provide an extra class in order to meet basic need in the area (either as a bulge class or as an ongoing commitment)
- Additional support where a school has extended its age range (the majority of funding would be paid through the funding formula where the local authority should seek a variation in pupil numbers)
- Support where a school has temporarily increased its PAN by X or more pupils in agreement with the authority
- Support for KS1 classes where overall pupil numbers exceed a multiple of 30 by X or fewer pupils
- Pre-opening costs / initial equipping allowance / diseconomy of scale allowance for new maintained schools and recoument academies, including new academies where the school is opening in response to basic need

19. Local authorities should request a variation to pupil numbers where there is a more permanent and significant change to numbers and where it is appropriate for the change to be reflected in all relevant formula factors and not just a marginal cost or AWPU only allocation.

20. Methodologies for distributing funding could include:

- A lump sum payment with clear parameters for calculation (usually based upon the estimated cost of making additional provision for a new class or the estimated start-up costs)
- £x per pupil (usually based on AWPU) and reflecting the proportion of the year which is not funded within the school's budget share
- £x per pupil, with a maximum ceiling

21. Where growth funding is payable to academies, the local authority is required to fund the increase for the period from the additional September intake through until the following August. Local authorities should enter the cost of growth funding for the April –

August period, along with appropriate justification, on the recoupment tab of the APT so that the recoupment calculation can be adjusted accordingly.

22. Growth fund adjustments will not be made for diseconomy of scale or start-up funding, so these should not be shown on the recoupment tab of the APT. This funding will continue to be met from the local authority's growth fund.

23. Where schools have agreed an expansion in pupil numbers with the local authority, they should ensure that they understand the methodology for funding the increase and are content that the expansion is deliverable within the funding available.

24. Some examples of local authorities' compliant criteria are shown below (these do not mean we are endorsing the amounts used):

### **Ealing primary schools**

25. £60,000 per additional form of entry (pro-rata for 0.5 FE) for Reception increases agreed by the LA for the September intake (for infant and primary schools) and Year 3 (Junior Schools).

26. Where building works are required and agreed by the LA costing in excess of £2m, £15,000 a year for two financial years, the timing of the release of funding will be following the approval of statutory proposals or the increase in the school's planned admission number where statutory proposals are not required. Funding may be released earlier at the discretion of the LA.

### **Ealing high schools**

27. £75,000 per FE for planned expansion in places agreed by the LA.

28. Where building works are required and agreed by the LA costing in excess of £2m, £15,000 a year for two financial years, the timing of the release of funding is following the approval of statutory proposals or the increase in the school's planned admission number where statutory proposals are not required. Funding may be released earlier at the discretion of the LA.

29. In both sectors, in exceptional cases, for example where additional furniture, learning resources or support staff costs are required which cannot be charged to capital, a case may be made to the LA for additional revenue funding up to a maximum of £15,000 one-off payment.

### **Solihull**

30. Qualification for funding through the pupil growth scheme is based upon a set of principles as follows:-

31. Additional funding will be made available to schools and academies in circumstances where:

- the Council carries out a formal consultation and approves to increase the capacity of a school

- a school/academy carries out a formal consultation at either the request of the Council or supported by the Council
- the Council requests a school/academy to increase their PAN to meet localised demand
- a school/academy admits a significant increase in pupils to meet demand from new housing developments at the request of the Council

32. Additional funding will be made in relation to the number of additional pupils taken or the number of agreed places purchased. Reference may be made to the number of classes required and may include consideration of the number of pupils leaving the school in that year.

33. Any allocation will be based on the teacher element of the AWPU, and will reflect the period September to March only (as additional funding will then flow through the October pupil count) for maintained schools and September to August for academy schools (as additional funding does not flow through until the start of the next academic year). Additional funding may be made available for pupil resources where the provision is a significant expansion of provision, particularly where a new key stage is being provided.

34. No allocation will be made to a school/academy where the school/academy:

- has surplus places and then takes additional children up to the PAN
- admits over PAN at their own choice
- admits extra pupils where those pupils have a reasonable alternative school place
- is directed and/or requested to admit additional pupils as a result of errors, appeals, fair access protocol, SEN, LAC etc. as these numbers will be extremely low on an individual school basis
- provides an additional infant class to meet class size legislation

### **Staffordshire**

35. Growth funding would be provided to a primary school where:

- the County Council agree that exceeding PAN (temporarily) or increasing the PAN (permanently) is necessary to meet population growth (not simply popularity growth or one school's desire to increase capacity)
- the County Council agree that the creation of an additional class is necessary and is directly related to exceeding PAN

36. The class is additional if it requires a change in the school's current or historical class organisation or number of classes.

37. Schools that have historically operated mixed age classes or have a PAN in a multiple of 15 would be normally expected to operate some mixed-age classes. (The growth funding cannot be used only to reduce class sizes).

38. A school's compulsory school-age range is increased the additional classes created would be funded. (e.g. when an infant school is converted into a primary school, it would be funded for each additional junior class created).

39. Funding would be provided only for the first academic year that an additional class is created.

40. Where one additional class was needed in an area but agreement cannot be reached to fund one school, the funding allocation may be split between two or more schools.

41. Assuming that the additional class is created in September, the primary school would receive funding equivalent to:

- 7/12ths salary cost of a 1 FTE teacher (Main Scale 6)
- 7/12ths salary cost of a 0.5 FTE teaching assistant (Grade 4)
- £3,000 towards the cost of resources and materials

42. If the class is created between September and April, the amount would be reduced by a 1/7th for each whole month that the class is not needed.

43. Schools must comply with the infant class size legislation (and any school funded would not also receive separate infant class size funding).

#### **Start-up funding for new schools:**

44. Where a new school or academy is established in response to basic need for pupil places, funding will be made available in recognition of costs incurred before the school opens. A one-off payment of £50,000 will be made for a two form entry (or larger) primary school, or £25,000 for smaller than two-form entry schools.

45. Funding is also available to support diseconomies of scale when a school or academy opens without a full complement of year groups. Payments will be made over two years as shown below, with 50% paid in the year of opening and the remaining 50% the following year.

- Academy is more than 90% full £0
- Gradual build-up of pupils after Academy starts off 80-90% full £10k
- Gradual build-up of pupils after Academy starts off 70-80% full £35k
- Gradual build-up of pupils after Academy starts off 60-70% full £60k
- Gradual build-up of pupils after Academy starts off 50-60% full £85k
- Gradual build-up of pupils after Academy starts off 40-50% full £105k

- Gradual build-up of pupils after Academy starts off 30-40% full £135k

## **Worcestershire**

46. Additional funding will be made available in circumstances where:
  - the LA carries out a formal consultation and approves to increase the capacity of a school
  - the LA requests schools to increase their PAN and the school has the capacity
  - the LA requests schools to admit significant additional pupils as a consequence of a school closure
47. Additional funding will be made in relation to the number of additional pupils taken.
48. Funding will be given on a 7/12th basis to cover September to March each year. (The period April to August will be covered by the schools budget based on numbers from the October census).
49. Any allocation will be based upon the AWPU and will be relevant to the key stage.
50. No allocation will be made to a school that has not been the subject of a consultation where a school:
  - has surplus places and then takes additional children up to the PAN
  - admits over PAN at their own choice
  - as directed and/or requested to admit additional pupils as result of errors, appeals, fair access panel, SEN, LAC, etc. as these numbers will be extremely low on an individual school basis
51. Funding will be allocated on the increase in actual numbers on the difference in pupils leaving and joining. For example in a primary school between the numbers leaving Year 6 and numbers entering Reception for 7 years from date of increased capacity.

## Falling rolls criteria

52. Local Authorities may topslice the DSG in order to create a small fund to support good schools with falling rolls where local planning data show that the surplus places will be needed in the near future. Criteria for allocating falling rolls funding should contain clear objective trigger points for qualification and a clear formula for calculating allocations. Compliant criteria would generally contain some of the features set out below:

- Support is available only for schools judged Good or Outstanding at their last Ofsted inspection (note that this is a mandatory requirement)
- Surplus capacity exceeds x pupils or x% of the published admission number
- Local planning data shows a requirement for at least x% of the surplus places within the next x years
- Formula funding available to the school will not support provision of an appropriate curriculum for the existing cohort
- The school will need to make redundancies in order to contain spending within its formula budget

53. Methodologies for distributing funding could include:

- £x per vacant place, up to a specified maximum places (place value likely to be based on AWPU)
- a lump sum payment with clear parameters for calculation (e.g. the estimated cost of providing an appropriate curriculum, or estimated salary costs equivalent to the number of staff who would otherwise be made redundant)

54. Some examples of local authorities' compliant criteria are shown below:

### Devon

55. The falling rolls criteria in Devon are listed below:

- Schools judged good or outstanding at last Ofsted inspection
- there is a reduction in numbers when comparing the October School census with the previous October census that results in substantial disruption to the provision of education in the school
- admissions demographic data evidences that the reduction is temporary
- the school's roll includes at least 80% of the pupils that live within its area
- the reduction in numbers due to pupil migration to other local schools is not eligible. Schools will be expected to cover the temporary funding shortfall from existing carry forward balances prior to application to the Falling Rolls Fund

- funding will be allocated up to the AWPU rate for the difference between the current year October number on roll and the lower of number on roll at the previous October census and the forecast number on roll using admissions data

## **Dorset**

56. School requesting support to mitigate the short-term financial impact of falling rolls must be graded Outstanding or Good by OFSTED on the date of approval.

57. Falling rolls will only be calculated on the normal year(s) of transfer (YR, Y3, Y5, Y7 and Y9 depending on whether Infant, First, Junior, Primary, Middle, Secondary or Upper School). Schools which normally have more than one age of transfer, due to differences in neighbouring schools transfer age, may have more than one calculation/payment.

58. Surplus capacity in affected year group(s) exceeds 24 pupils or 20% of the number of pupils expected (whichever is the lower), based on the average\* of the January census figures for the normal year of transfer for the previous 5 years. (\*The average will remove any anomalies such as bulge classes or managed changes in area provision).

59. Local planning data for the pyramid shows a requirement for at least 70% of the surplus places within the following 3 academic years. This is calculated as the 5yr average for the year group less the number on roll for the year group \* 70% added to NOR for the year group, must be the predicted NOR for the year group in the school within the next 3 years.

60. It must be demonstrated that formula funding available to the school will not support provision of an appropriate curriculum for the remaining cohort (e.g. evidence will need to be provided to show the impact on meeting basic curriculum requirements or on the pupils being unable to continue part completed examination courses).

61. Any MFG the school receives will be deducted from the grant amount (as with our policy on pupil growth).

62. In the first instance any shortfall in funding due to falling rolls should be made up from any school surplus above 1.7% for a secondary school, 2.7% for a primary or special school or £20,000 whichever is the higher, (as it is anticipated that the school will have been planning for this eventuality) and this will be taken into account when considering an application.

63. Schools will be funded at 100% of AWPU for the agreed number of pupils (through determining the difference between the average from the historic model and the actual level) beyond 24 pupils/20% in the relevant cohort.

64. Funding provided will be a one off payment and not a continuing payment as the cohort moves through the school.

## **Payment**

65. In the academic year when falling rolls occur, the school will receive 7/12ths of funding at the previous census level. The falling rolls payment will therefore be made in the later part of the academic year – the next financial year. (A falling roll intake in 2013 will be a claim in the financial year 2014-2015 and the surplus will be the carry forward into that financial year). Academies will be required to provide the LA with details of their financial position to demonstrate whether or not there is a surplus to take into account.

## Havering

66. Support is available only for schools judged Good or Outstanding at their last Ofsted inspection (this is a mandatory requirement).

67. Surplus capacity as the October count date exceeds 15% of the published admission number in the following year groups:

Financial Year	2014/15	2015/16	2016/17	2017/18	2018/19
Year Group	7	7 & 8	7, 8 & 9	7, 8, 9 & 10	7, 8, 9,10 & 11

**Table 2: Surplus capacity support in Havering**

68. Local planning data shows a requirement for at least 90% of the surplus places within the next 5 years.

69. Formula funding available to the school will not support provision of an appropriate curriculum for the existing cohort.

70. The school will need to make redundancies in order to contain spending within its formula budget.

71. Formula for distributing funding:

- 85% of the appropriate AWPU x per vacant place below 85% of the PAN. e.g.
- First Year of Funding - PAN: 192; 85%: 163
- Year 7 NOR October 2013: 70
- Difference between 85% of PAN and Yr7 NOR: 93
- $93 \times \text{KS3 AWPU} \times 85\%$  ( $\pounds 4,551.86 \times 85\% = \pounds 3,869$ ) =  $\pounds 359,824$
- Second Year of Funding - PAN: 192; 85%: 163
- Year 7 NOR October 2014: 120
- Year 8 NOR October 2014: 70
- Difference between 85% of PAN and Yr7 NOR: 72
- Difference between 85% of PAN and Yr8 NOR: 93
- Total difference = 165
- $165 \times \text{KS3 AWPU} \times 85\%$  ( $\pounds 4,551.86 \times 85\% = \pounds 3,869$ ) =  $\pounds 638,398$



## **Hertfordshire**

72. The Fund has the following eligibility criteria:

- The school/academy has fewer than 550 pupils (excluding sixth form) in the October census prior to the start of the financial year
- The number of places offered by the school across year groups 7 to 11, if full, is greater than 550
- The authority has forecast that at least 110 places will be required from the school in year 7 (year 9 for upper schools) by Autumn Term 2017, otherwise there will be an absolute shortfall of capacity in the relevant planning area
- The school is Good or Outstanding. The date at which Ofsted category data will be taken will be 31 August prior to the start of the financial year to which funding relates, except that a school which becomes Good or Outstanding during the subsequent Autumn term prior to the start of the financial year shall also be eligible

73. The allocation formula takes account of the size of the school but also incorporates a ceiling on allocations. It also takes into account any MFG protection funding the school receives in its budget share to avoid duplicating it.

74. The formula for determining an allocation to an eligible school is:

- KS3 calculation:  $330 - \text{actual number of KS3 pupils on roll} \times \text{KS3 AWPU} \times 50\%$
- KS4 calculation:  $220 - \text{actual number of KS4 pupils on roll} \times \text{KS4 AWPU} \times 50\%$
- sum of the result of above capped at £250,000
- deduct any MFG protection funded received by the school
- equals the allocation from the Fund

## **Portsmouth**

75. The fund is only available to Primary and Secondary maintained schools or Academies in Portsmouth.

76. Financial support will only be available for schools:

- Judged Good or Outstanding at their last Ofsted inspection
- The school or academy has seen a reduction in pupils between the October 2012 census and the October 2013 census of 30 or more pupils or has surplus capacity 20% of the published admission number
- Local planning data shows a requirement for at least 50% of the surplus places within the next 3 financial years

- Formula funding available to the school will not support provision of an appropriate curriculum for the existing cohort
- The school will need to make redundancies in order to contain spending within its formula budget
- Where the school does not have a surplus revenue balance as at the 31st March 2014 in excess of 5%(secondary) or 8% (primary) of its school budget share for the previous funding period (or the relevant academic years in the case of academies)

77. Schools and academies who believe they meet the above criteria in 2014-15 must submit a request for financial support to the Finance Manager for Education and Children's Services by 15 April 2014.

78. Funding will be issued using the following formula:

- The decrease in the number on roll between October 2013 and October 2014 census
- Multiplied by the value of the 2014 to 2015 basic per pupil entitlement factor
- For secondary schools the basic per pupil entitlement factor for key stage 3 will be used.

79. The maximum allocation to a school or academy from the fund will be limited to £300,000.



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Reference: EFA-00201-2015



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