



Education
Funding
Agency

Authority Proforma Tool 2014 to 15: Instructions for local authorities

18 July 2013

Contents

Introduction and background	3
Timeline	4
APT interactive map	5
Tool structure and key components	6
How we recommend the APT is used	7
Cover sheet	11
Schools Block Data sheet	12
13-14 submitted baselines sheet	14
Input & Adjustments sheet	15
Local Factors sheet	23
Adjusted Factors sheet	27
13-14 final baselines sheet	28
Commentary sheet	31
Proforma sheet	33
De-delegation sheet	39
New ISB sheet	41
School level SB sheet	42
Recoupment sheet	43
Validation sheet	45
Contact Information	46
Annex A – Local adjustments to the supplied data	47
Annex B – Frequently Asked Questions	49
Annex C – Anomalies in the APT and proposed workarounds	52
Annex D – Version control	59

Introduction and background

The Education Funding Agency (EFA) has developed the Authority Proforma Tool (APT) that will enable a local authority to detail their 2014-15 Schools Block funding formulae in accordance with the arrangements set out by the Secretary of State for Education.

The main purpose of this tool is:

- to allow local authorities (LAs) to model different options for their 2014-15 Schools Block funding formulae and at the same time act as the proforma which LAs will submit in October 2013 and January 2014. It will also be the mechanism by which we provide the Schools Block Proforma Dataset to LAs;
- to capture all the data required by the EFA to calculate academy budgets;
- to enable the EFA to check that the formula has been applied reasonably and in compliance with regulations and conditions of grant, and that central budgets are being allocated in line with regulations;
- to collect data on maintained schools' Schools Block budgets for publication;
- to use the notional allocations for academies for recoupment purposes: recoupment will continue to take place on the basis of the budget, including the minimum funding guarantee (MFG), that the academy would have received as a maintained school; and
- to give the EFA information about which academies and future converters are judged by the authority as meeting the criteria to qualify for exceptional factors or MFG exclusions so that these can be taken into account in their funding allocations.

The APT can be accessed via the Information Management Portal. This is to ensure the security of the information contained within the documents is maintained. Further information on the submission process will be provided at a later stage.

The aim of this document is to provide LAs with guidance on how to use the APT. The APT is based heavily on the spreadsheets issued by the EFA for 2013-14, but has hopefully addressed some of the problems and difficulties LAs encountered with these last year.

Being published alongside this document is the 2014-15 Schools Block Dataset Technical Specification, which provides more detail on the Schools Block Proforma Dataset contained in the APT.

Timeline

Mid-June 2013

The APT being issued in mid-June is for LAs to:

- use for, or to support, their modelling over the summer and early autumn of different options for their 2014-15 Schools Block funding formulae;
- submit their provisional 2014-15 Schools Block funding formulae and other supplementary information to the EFA in October 2013.

To clarify, we will **not** be re-issuing the APT between June and October for LAs to use for submitting provisional formulae and supplementary information to the EFA. The APT issued in mid-June should be used for this purpose.

LAs are not compelled to use the APT for modelling formula options in advance of the October submission. However, we strongly recommend they do so (or at least use it in conjunction with any local modelling spreadsheets), as it should make the submission process easier.

The mid-June APT has been prepopulated with Schools Block formula factor data taken from the October 2012 school census, and funding baselines for schools for 2013-14.

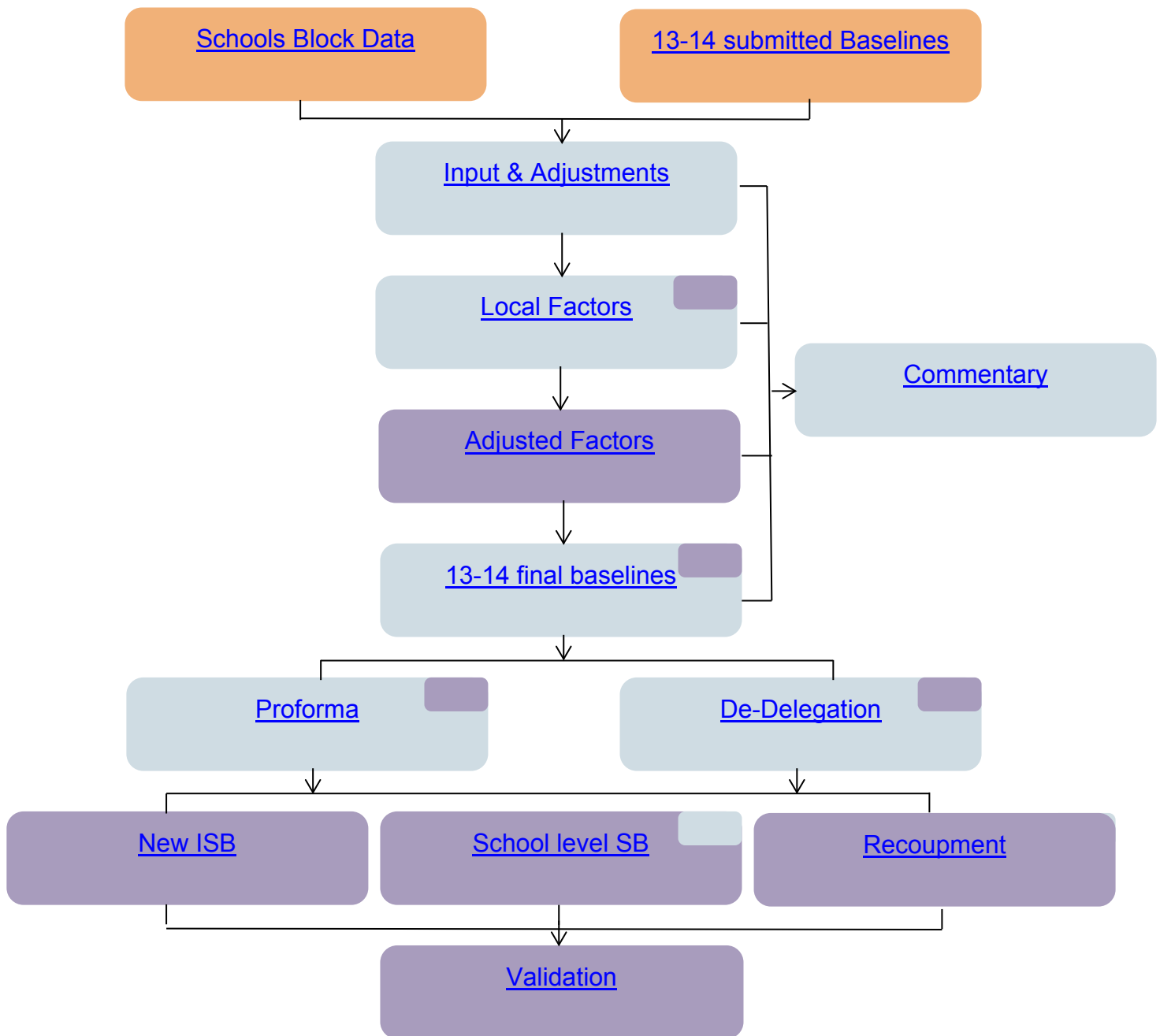
Mid-December 2013

The October 2013 school census dataset is due to be finalised at the end of November. We will re-issue the APT and this guidance document to LAs in mid-December. In structure and function, the APT issued at that stage will be identical to the spreadsheet issued in mid-June. The only difference is that the Schools Block formula factor data it is prepopulated with will be updated to relate to the October 2013 school census.

The mid-December APT is the version that LAs must complete and submit to provide the EFA with their final 2014-15 Schools Block funding formulae in January 2014.

APT interactive map

This is an interactive map showing the sheets of the APT: you can click on a hyperlink in the map to navigate through the user guidance.



Colour coding:

Prepopulated data sheets



User input sheets



Calculation / output sheet



A small rectangle in the top right corner of the bigger rectangle indicates the secondary role of the sheet.

Tool structure and key components

The interactive map on the previous page shows the different sheets contained within the APT. Clicking on the hyperlink in a box will take you to the section of this guidance containing more detailed information about that sheet.

The tool has been developed using Excel 2010 but to ensure compatibility with earlier versions of Excel has been created as an Excel 97-2003 file. It has come to our attention that whilst the functionality of the tool is unaffected the changes in colour palate across versions of Excel have converted our chosen colours in to some quite garish colours not of our choosing. For users of Excel 97-2003 we apologise if this affects your user experience of the tool but would re-iterate that the functionality should remain intact.

Prepopulated data

There are two sheets which have been prepopulated with data, indicated by an orange colour on the interactive map. The [Schools Block Data](#) sheet contains data taken from the October 2012 school census relating to the permitted pupil-led indicators for each school and academy in the LA at census date. The [13-14 submitted Baselines sheet](#) contains funding allocations for each school and recoupment academy for 2013-14 as submitted by LAs to the EFA as at the end of May 2013. These sheets are locked, and the data they contain cannot be modified.

User input sheets

User input sheets, or sheets which require a degree of user input, are shown in light blue on the interactive map. The user input cells of the APT are coloured light blue also. The [Inputs & Adjustments](#), [Local Factors](#) and [13-14 final baselines sheets](#) are where the user can record adjustments to the data provided in the two prepopulated sheets, and enter further relevant input data about schools and funding baselines. These three sheets, together with the two prepopulated sheets, therefore contain the data required in order for the APT to be able to calculate automatically school-level budgets for you.

The [Proforma](#) user input sheet is where users can specify unit funding amounts for each of the permitted Schools Block formula factors. In the [De-delegation sheet](#) users can specify de-delegation unit values. The other user input sheets shown on the interactive map are where data should be entered which is required by the EFA for checking formulae for consistency with funding regulations, for calculating academy budgets, and for estimating local authority recoupment.

Automatic calculation sheets

Automatic calculation sheets, or sheets which contain a degree of automatic calculation, are shown in purple. The automatic calculation cells of the APT are coloured purple also. These sheets are populated automatically using cell formulae from the data contained in

the prepopulated and user input sheets. The purple cells and their formulae cannot be edited, although the user can click on any of them to view the formula used to populate it.

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

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

Data checking and validation

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

How we recommend the APT is used

The arrows in the interactive map sets out the sequence in which we envisage someone should approach using the tool. Detailed information about how to use each sheet can be found in the remaining sections of this guidance. Scroll down, or click on the hyperlinks contained in the text or in the interactive map.

Step 1

On receipt of the tool, the user should initially review the two prepopulated sheets ([Schools Block Data](#); [13-14 submitted Baselines](#)). The lists of schools shown in these two sheets reflect, respectively, the maintained schools, recoupment and non-recoupment academies in the LA as at the date of the October 2012 school census, and the maintained schools and recoupment academies listed on the final LA 13-14 proforma return. The user should consider the schools listed and how the list of maintained schools and recoupment academies that are expected to be funded in 2014-15 has changed since this data was compiled.

[NB: Non-recoupment academies are not used in any other sheets; they are listed in the [Schools Block data sheet](#) so that the users can consider the full school list and make

amendments to it if need be, and can consider the characteristics of non-recoupment academies in developing the formula.]

Step 2

The user should then use the [Input & Adjustments sheet](#) to record changes to the list of schools shown in the [Schools Block Data sheet](#) where this does not reflect the maintained schools and recoupment academies to be funded in 2014-15. New schools to be added to the list, closed schools to be removed from the list, schools which have or will be amalgamated, and academy conversions, should all be recorded here. Users can also use this sheet to record where a school's number on roll (NOR) or proportion(s) of pupils to which the per pupil formula factors apply in the prepopulated [Schools Block Data sheet](#) are unrepresentative of the situation of the school in 2014-15. Guidance on the circumstances under which LAs can amend the pupil numbers or factors data for a school is given in [Annex A](#).

Step 3

School changes the user has identified in the [Inputs & Adjustments sheet](#) will automatically be reflected in the school list shown down the left hand side of the [Local Factors sheet](#). This school list is automatically replicated on all the other sheets of the APT so it is vitally important that the user reviews the list shown in the [Local Factors sheet](#) to ensure it reflects the maintained schools and academies expected to be funded in 2014-15. If the list is incorrect then revisit the [Input & Adjustments sheet](#) and record any further changes necessary **BEFORE** entering any data in the [Local Factors sheet](#). The list of schools shown here is hereafter referred to in this section as the "14-15 list".

Step 4

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

Step 5

The user should then review the [13-14 final baselines sheet](#). For the schools in the 14-15 list that are also shown in the prepopulated 13-14 baselines sheet, this sheet is automatically populated with the 13-14 baselines data. In the light blue user input cells, you will need to input information relating to baselines for new schools entered at the [Input & Adjustments sheet](#) and also any amendments required from reviewing the [13-14 submitted Baselines sheet](#), e.g. adjustments to 13-14 NOR.

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

Step 6

The [Proforma sheet](#) is where you should enter your Schools Block funding formula: the unit funding values such as age-weighted pupil units (AWPUs) and the lump sum, as well as choosing (sometimes through a drop-down and in others by simply leaving values blank or zero) which indicator for those factors, such as Deprivation, where LAs can select from two or more options. The [De-delegation sheet](#) also requires user input, and any de-delegation unit values should be entered here. The [New ISB sheet](#) displays the resultant allocations to the individual schools in your 14-15 list, including MFG funding and capping/scaling. The [Validation sheet](#) should be consulted to check if your current scenario or option passes various data checks, to help ensure nothing has been entered in error or missed out. The elements of this page which highlight whether the user has failed to provide some required commentary can be ignored for modelling purposes.

We anticipate that users will use and refer to primarily the [Local Factors](#), [Proforma](#), [De-delegation](#), [New ISB](#) and [Validation sheets](#) to explore and analyse different options for 14-15 funding formulae.

Step 7

The [Commentary](#), [School level SB](#) and [Recoupment](#) sheets do not need to be used for modelling different funding formulae options for 2014-15, although users may find them helpful. The [Recoupment sheet](#) shows all the recoupment academies in the 14-15 list, and allows the user to estimate the amount of DSG funding that will be recouped by the EFA for each school in the 14-15 list. It is largely automatically populated from data entered elsewhere in the APT, although it is here that users are required to enter details of growth funding adjustments for the period April 2014 to August 2014.

Step 8

When your modelling is complete and you are ready to submit your LA's provisional 2014-15 Schools Block funding formula and supplementary data to the EFA in October 2013 you should ensure that all applicable light blue user input cells have been filled in. You should also ensure that you have provided your contact details in cells D5 to D7 of the Cover sheet and that all the checks highlighted in the [Validation sheet](#) have passed. Ensuring all the validation checks pass includes providing an explanation in the [Commentary sheet](#), the [Input & Adjustments sheet](#) and elsewhere if you have included any additional factors. Please also ensure you delete any extra sheets you may have added to the APT for modelling purposes and you remove any macros you may have added. The [School level SB](#) sheet allows the user to display the funding an individual school receives under the formula entered in the APT. There is space for an LA to include their logo or crest on this page, and you may find it helpful for generating a summary of 2014-15 funding which you can send to schools in your area.

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

For further details of 2014-15 funding arrangements please see the Operational Information published on the Department's website here:

[2014 to 2015 revenue funding arrangements: operational information for local authorities](#)

Cover sheet

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

The table in the top left of this sheet **must** be completed before the APT is submitted to the EFA. Please record the name of the local authority officer who submitted the APT, their email address and phone number.

Schools Block Data sheet

This sheet contains the school-level pupil numbers and indicators, based on 2012 Autumn (October) school census returns. It does not reflect any changes to factors made for final 13-14 formula submissions to the EFA. This sheet will be updated with the October 2013 school census data in the re-issued APT in mid-December. The table below summarises the source data for each indicator.

A detailed description of all the data items can be found in the Schools Block Dataset Technical Specification which has been updated and re-published alongside this guidance.

Data	Breakdown	Data source
School list	LAESTAB, URN, Local Authority, Phase, Primary Year Groups, Secondary Year Groups	Mainstream schools on Autumn 2012 Census URN is matched from Edubase
Academy Type	n/a	Taken from the Departments records – showing status as at October 2012
London Fringe	n/a	District as mapped from the school postcode in the Autumn 2012 Census
Number on roll (NOR)	Primary, Secondary, key stage 3, key stage 4	Autumn 2012 Census
Reception Difference	Difference between on roll in Year R, October 2011 and January 2012	Autumn 2011 and Spring 2012 Census
FSM	Separate Primary/Secondary	Autumn 2012 Census
FSM ever 6	Separate Primary/Secondary	12-13 pupil premium Ever6 Data which was mapped to the Spring 2012 School Census.
IDACI	Split into six different bands, Separate Primary/Secondary	Postcodes mapped from Autumn 2012 Census
EAL	1st, 1st or 2nd, 1st, 2nd or 3rd year in system Primary/Secondary	Autumn 2012 Census for Language Group, Autumn 2009, 2010, 2011, 2012 Censuses Mapping on UPN for on roll records.

Looked-after children	Aggregated information indicating looked-after children (at 31 March)	SSDA903 March 2012 mapped onto the Spring 2012 Census (via NPD)
Primary phase prior attainment	EYFSP score below 78 or score below 73 ¹	EYFSP Total score mapped to the Autumn 2012 Census for pupils in Y1,2,3,4 Mapping on UPN only
Secondary phase prior attainment	Level 3 or below in either English or maths at KS2	KS2_Eng_Lev and KS2_Mat_Lev mapped to the Autumn 2012 Census for pupils in Y7-11 Mapping on UPN only
Mobility	Start date in last three academic years, separate Primary/Secondary	Autumn 2012 Census
Sparsity	Primary / Secondary measure	Autumn 2012 Census, Edubase

Please note that this is a locked sheet and you cannot make any amendments to it. If you wish to amend any of the Schools Block data, please do so using the [Input & Adjustments sheet](#).

For the sparsity factor, all middle and all-through schools are treated in the same way as secondary schools. In the Schools Block Data sheet, their sparsity distances are given under the “Secondary sparsity av. Distance to 2nd school” column.

¹ To be updated in December 2013 with data for pupils assessed under the new EYFSP profile – see prior attainment section of the Schools Block Dataset Technical Specification for further information.

13-14 submitted baselines sheet

This sheet contains the 13-14 school-level baselines as submitted by local authorities to the EFA. This data is used in to populate the [13-14 final baselines sheet](#) which then calculates the 13-14 MFG per pupil School Budget Share (SBS).

Please note that the 13-14 number on roll (NOR) column shows the funded NOR, namely the 13-14 NOR adjusted for part year funding and excluding pupils in high needs places.

Please note that this is a locked sheet and you cannot make any amendments to it. If you wish to amend any of the baseline data, please do so in the [13-14 final baselines sheet](#).

Input & Adjustments sheet

This is a new sheet which was not in the LA Tool or submitted proformas last year. Its purpose is to allow the user to make adjustments to the data for maintained schools and academies prepopulated in the [Schools Block data](#) sheet (which is taken from the October 2012 school census so reflects the situation at that point in time), where the schools or pupil data shown in the [Schools Block data](#) sheet do not reflect the schools an LA expects to fund during 2014-15 or their current situation. Recording changes in this way aims to make it easier for LAs and the EFA to see the amendments made.

Users should use this page to record:

- where schools in the [Schools Block data](#) sheet have closed, or will close before 1 April 2014;
- new schools which have opened since October 2012, or are expected to open before the end of 2014-15, including basic need academies;
- schools which have amalgamated since October 2012, or are expected to amalgamate before the beginning of 2014-15;
- where maintained schools have converted to academy status or are expected to convert before 1 January 2014;
- for existing schools, changes to the figures in the [Schools Block data](#) sheet for numbers on roll or proportions of pupils eligible for each pupil-led indicator, where the October 2012 data does not reflect the current position. Guidance on the circumstances under which LAs can amend the pupil numbers or factors data for a school is given in [Annex A](#).

The adjustments the user records in this sheet will NOT be reflected in the [Schools Block data](#) sheet, as this is locked and cannot be changed. Any changes recorded which affect the list of schools (e.g. new schools, closed schools, mergers) will be reflected in the list of schools shown in the [Local Factors](#), [Adjusted Factors](#), [13-14 final baselines](#), [De-delegation](#), [New ISB](#) and [Recoupment](#) sheets. **It is therefore vitally important that, having recorded adjustments in the [Input & Adjustments sheet](#), the user reviews the school list shown in the [Local Factors sheet](#) to ensure it reflects the maintained schools and recoupment academies expected to be funded in 2014-15, before entering data here.**

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

[NB: In the [Input & Adjustments sheet](#), users recording changes to the data for a school must, for each indicator under the deprivation, English as an additional language (EAL),

looked-after children (LAC), prior attainment and mobility factors, enter the proportions of pupils eligible. The data shown in the [Adjusted Factors sheet](#) for these factors has been converted to a pupil number basis.]

Recording an adjustment to the Schools Block Data

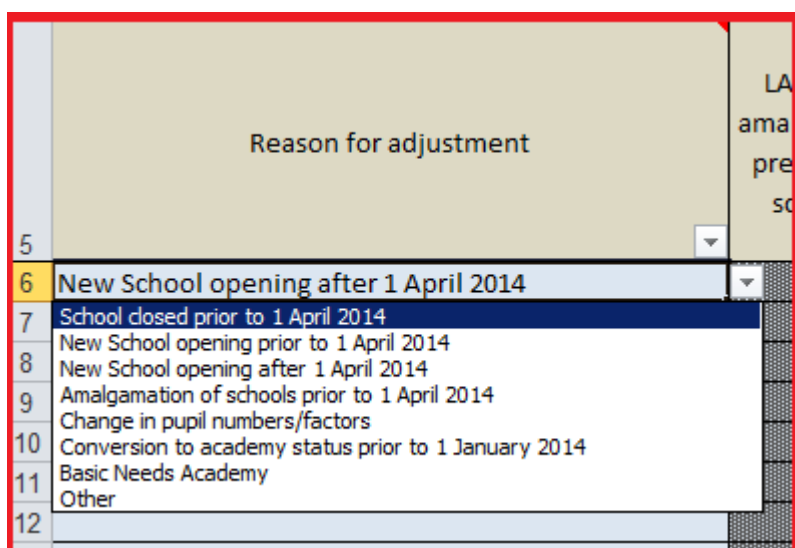
Please click on the first blank cell in **column A** (“Reason for adjustment”), then click on the drop-down arrow which appears to the right of the cell and select one of the possible reasons for adjustment shown; see Image 1. If you cannot see the drop-down arrow then you should ensure that you have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

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

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

Please note that the subsequent sheets in the APT are using the LAESTABs as lookup references, so please ensure you input those correctly. The LAESTAB must be 7 digits long.

Image 1



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

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

School closed prior to 1 April 2014

- Please select this option if a school appears in the [Schools Block data sheet](#), but has since closed, or is due to close prior to the start of 2014-15. Use this option only for schools that have closed, or will have closed, prior to 1 April 2014. For schools closing during 2014-15, you should not record the closure in this sheet, and should instead adjust the opening/closing proportion for the school as appropriate in **column O** of the [Local Factors sheet](#).
- Enter the LAESTAB of the school in **column G**.

New School opening prior to 1 April 2014

- Please select this option for any brand new **maintained** schools opening **prior to 1 April 2014**. A school converting from the private sector prior to 1 April 2014 should be recorded under this reason. Do not use this option to record a new basic need academy opening: use the specific drop-down option for this and follow the relevant instructions below.
- Enter the URN, LAESTAB and Name of the new school in **columns F, G and H**.
- Enter the new school's phase and academy type (if applicable) in **columns I and J** – click on the cells and select an option from the drop-down list.
- If the school is on the London Fringe, click on the cell in **column K** and select the 1.0163... entry from the drop-down list, otherwise select 1. The default option is 1.
- If the school is a middle-deemed school, enter the number of primary year groups and secondary year groups it contains in **columns L and M**. If you leave these columns blank for a middle school, it will be given a zero lump sum. But **do** leave these cells blank if the school is primary, secondary or all-through.
- Enter the school's total, primary, secondary, KS3 and KS4 numbers on roll in **columns N to R**.
- Enter the number of additional pupils for the Reception Uplift in **column S**.
- Enter the proportions of pupils at the school eligible for each of the deprivation, EAL, LAC, prior attainment and mobility indicators in **columns T to AW**, and your estimate of the sparsity average distance(s) for the school in **columns AX and AY**.

New School opening after 1 April 2014

- Please select this option for any brand new **maintained** schools opening **from 1 April 2014 onwards**. A school converting from the private sector from 1 April 2014 onwards should be recorded under this reason.
- Enter the URN, LAESTAB and Name of the new school in **columns F, G and H**.
- Enter the new school's phase and academy type (if applicable) in **columns I and J** – click on the cells and select an option from the drop-down list.
- If the school is on the London Fringe, click on the cell in **column K** and select the 1.0163... entry from the drop-down list, otherwise select 1. The default option is 1.
- If the school is a middle-deemed school, enter the number of primary year groups and secondary year groups it contains in **columns L and M**. If you leave these columns blank for a middle school, it will be given a zero lump sum. But **do** leave these cells blank if the school is primary, secondary or all-through.
- Enter the school's total, primary, secondary, KS3 and KS4 numbers on roll in **columns N to R**.
- Enter the number of additional pupils for the Reception Uplift in **column S**.
- Enter the proportions of pupils at the school eligible for each of the deprivation, EAL, LAC, prior attainment and mobility indicators in **columns T to AW**, and your estimate of the sparsity average distance(s) for the school in **columns AX and AY**.
- NB: Users must enter the proportion of 2014-15 for which the new school will be open in **column O** of the [Local Factors sheet](#). It will be given as 1.00 (indicating the school is open for the whole of the year) by default unless changed.

Amalgamation of schools prior to 1 April 2014

- Please select this option if two or more **maintained** schools have been amalgamated **prior to 1 April 2014** (please see "Conversion to academy status prior to 1 January 2014" to record the mergers of an academy and a maintained school).
- Enter the LAESTABs of the predecessor schools in **columns B to E**. It is essential that the LAESTABs are entered and are correct, so that the schools concerned do not appear in the lists in the subsequent sheets of the APT.
- Enter the URN, LAESTAB and Name of the **resultant** school in **columns F, G and H** (even if the school is keeping the LAESTAB of one of the predecessor schools).

- Enter the new school's phase and academy type (if applicable) in **columns I and J** – click on the cell and select an option from the drop-down list.
- If the school is on the London Fringe, click on the cell in **column K** and select the 1.0163... entry from the drop-down list, otherwise select 1. The default option is 1.
- If the school is a middle-deemed school, enter the number of primary year groups and secondary year groups it contains in **columns L and M**. If you leave these columns blank for a middle school, it will be given a zero lump sum. But **do** leave these cells blank if the school is primary, secondary or all-through.
- Enter the school's total, primary, secondary, KS3 and KS4 numbers on roll in **columns N to R**.
- Enter the number of additional pupils for the Reception Uplift in **column S**.
- Enter the proportions of pupils at the school eligible for each of the deprivation, EAL, LAC, prior attainment and mobility indicators in **columns T to AW**, and your estimate of the sparsity average distance(s) for the school in **columns AX and AY**.
- **Warning:** It is important that none of the cells for this school in **columns H to AY** are left blank, so the APT's calculations of the school's allocations are based on all relevant data. This is particularly critical if the school has kept the LAESTAB of one of its predecessors: for any blank cell in **columns H to AY**, the APT will use the predecessor's data from the [Schools Block data sheet](#). For schools with new LAESTABs blank cells will be treated as zero.

Change in pupil numbers/factors

- Please select this option where a school shown in the prepopulated [Schools Block Data sheet](#) is due to be funded for all or part of 2014-15, but its NOR or proportion for one or more of the indicators have changed compared to the prepopulated data. Please note that EFA approval is required for any variations in the NOR. More guidance on the circumstances under which LA can amend the pupil numbers or factors data for a school are given in [Annex A](#).
- Enter the URN, LAESTAB and Name of the school in **columns F, G and H**.
- If the school is on the London Fringe, click on the cell in **column K** and select the 1.0163... entry from the drop-down list, otherwise select 1. The default option is 1. You must ensure the correct value is shown here even if there should be no change from the value entered in the [Schools Block Data sheet](#).

- In columns I and J and columns L to AY, please enter data only for the phase, academy type, NOR or proportions where a change is needed from the information / figures in the [Schools Block Data sheet](#). You do not need to re-enter data in these columns where no change is needed and should leave such cells blank. The APT's formulae in the subsequent sheets will automatically pick up the relevant data from the [Schools Block Data sheet](#).
- **Warning:** If you are not recording a change to a school's NOR, you should enter values in **columns N to R** even if some of these are zero. If you leave any of these blank, then the APT's formulae will automatically use the data in the pre-populated sheet, and these may be incorrect if the school has lost a phase.

Conversion to academy status prior to 1 January 2014

- Please select this option if a maintained school has converted, or is expected to convert, to academy status **prior to 1 January 2014**. If the converter **also** needs a change in pupil numbers or factors compared to the predecessor to be recorded, you should enter the new data in this line.
- Please also select this option to record the **merger of two or more maintained schools into an academy or a merger of an academy and a maintained school**.
- All academies **converting from 1 January 2014 onwards** must be shown throughout the spreadsheet as the predecessor maintained school. So academy conversions expected after this date should not be recorded as such in the [Input & Adjustments sheet](#).
- Enter the LAESTABs of the predecessor school(s) in **columns B to E**.
- Enter the URN, LAESTAB and Name of the academy in **columns F, G and H**, and select Recouplement Academy in **column J**.
- If the school is on the London Fringe, click on the cell in **column K** and select the 1.0163... entry from the drop-down list, otherwise select 1. The default option is 1.
- In column I and columns L to AY, if the academy has kept the LAESTAB number of its predecessor maintained school, please enter data only for the NOR or proportions where a change is needed from the figures for the predecessor school contained in the [Schools Block Data sheet](#). You do not need to re-enter data for factors where no change is needed and should leave such cells blank. The APT's formulae in the subsequent sheets will automatically pick up the relevant factors data from the [Schools Block Data sheet](#).
- **However, if the academy has a new LAESTAB, you will need to enter figures in all relevant cells of column and columns L to AY**. This applies even if it is

only the LAESTAB which has changed and the remaining data for the academy is identical to that of the predecessor in the [Schools Block Data sheet](#). The columns in both sheets are in the same order so copy the data from **columns F to AT** of the [Schools Block Data sheet](#) and paste it in one go into **columns K to AY** of the [Input & Adjustments sheet](#).

- **If you do not know the LAESTAB of a new academy**, either enter the predecessor school's LAESTAB (and follow the instructions two bullets above) or a temporary one (and following the instructions in the bullet above).
- If using this option to record the merger of either an academy and a maintained school or two or more maintained schools into an academy, you will also need to enter data into all these cells, as well as the LAESTABs of all predecessors in **columns B to E**.

Basic Needs Academy

- Please select this option if a basic need academy is opening up to March 2015.
- Enter the URN, LAESTAB and Name of the new academy in **columns F, G and H**.
- Enter the new school's phase and academy type in **columns I and J** – click on the cell and select an option from the drop-down list.
- If the academy is on the London Fringe, click on the cell in **column K** and select the 1.0163... entry from the drop-down list, otherwise select 1. The default option is 1.
- Enter the school's total, primary, secondary, KS3 and KS4 numbers on roll in **columns N to R**.
- Enter the number of additional pupils for the Reception Uplift in **column S**.
- Enter the proportions of pupils at the school eligible for each of the deprivation, EAL, LAC, prior attainment and mobility indicators in **columns T to AW**, and your estimate of the sparsity average distance(s) for the school in **columns AX and AY**.
- NB: Users enter the proportion of 2014-15 for which the new school will be open in **column O** of the [Local Factors sheet](#).
- Please note that you are required to complete the formula budget for all basic need academies for the period up to March 2015. Any pre-opening costs or funding for diseconomies of scale would come from the growth fund.

Other

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

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

Note about NOR

The NOR figures for a school contained in the prepopulated [Schools Block Data sheet](#) are a direct headcount of pupils in years R to 11 taken from the October 2012 school census. They will therefore include such pupils in a high needs unit at the school.

Similarly, the NOR figures for a school entered by users in the [Input & Adjustments sheet](#) should include all pupils in years R to 11, **including** those who will be educated exclusively through a high needs place at the school.

Users must record the existence of a high needs unit and the number of high needs places at a school or academy in **columns Q to T** of the [Local Factors sheet](#). The number of high needs places will automatically be deducted from a school's NOR when the data feeds through into the other sheets of the APT. This is because they are being funded through the High Needs Block rather than the Schools Block.

Note about schools expected to amalgamate during 2014-15

If two or more schools are expected to amalgamate during the 2014-15 funding year, this should **not** be recorded in the [Input & Adjustments sheet](#). Schools merging in-year will continue with the combined budget of the two or more predecessor schools for the remainder of the year. The school list in the [Local Factors sheet](#) should show the predecessors as separate entities; the amalgamated school should not be shown.

Note about part-recoupment academies

Those academies which were part-recoupment in 2013-14 will be funded as entirely recoupment academies in 2014-15. These are all listed as "recoupment academy" in the prepopulated [Schools Block Data](#) sheet, so you do not need to use the [Input & Adjustments sheet](#) to record this change to your prepopulated data.

Local Factors sheet

On this sheet you will need to enter the local data that the model requires. The school list in **columns L to N** is populated automatically based on the Schools in the [Schools Block Data sheet](#) plus any adjustments recorded in the [Input & Adjustments sheet](#). **DO NOT** attempt to add schools to this sheet. Any changes to the school list need to be recorded using the [Input & Adjustments sheet](#).

It is very important to check that the school list shown in columns L to N displays the correct maintained schools and recoupment academies expected to be funded in 2014-15, BEFORE entering any data here. If, after having entered some data in the Local Factors sheet, you then record further adjustments in the Input & Adjustments sheet, the Local Factors school list will have changed accordingly but the data you have entered in the light blue cells will stay in the same place. As such, some or all of that data may now appear against the wrong school or academy.

Image 2

LAESTAB	School Name	Opening / Closing	Growing School	High Needs Unit	Number of Primary High Needs Places	Number of KS3 High Needs Places	Number of KS4 High Needs Places	14-15 Split Sites
					0	0	0	£0
9991002	School 2	1.00	No	No				
9991003	School 3	1.00	No	No				
9991004	School 4	1.00	No	No				
9991005	School 5	1.00	No	No				
9991006	School 6	1.00	No	No				
9991007	School 7	1.00	No	No				
9991008	School 8	1.00	No	No				
9991009	School 9	1.00	No	No				
9991010	School 10	1.00	No	No				

The rest of this section outlines what information should be entered in each column of the [Local Factors](#) sheet. The blue input cells in **columns O, P and Q** contain default values which you will need to change if the default is not correct. The remaining blue cells are provided to you blank; please note that blank cells will be treated as zeros unless another value is entered. You therefore do not need to enter zeros.

Opening / Closing (column O)

This should be 1.00 unless the school is opening or closing, in which case you should enter the proportion of the financial year 14-15 for which the school will be open. For example, a school that is closing at the start of September would need to be funded from April to August, which would be 5/12 of the year. This should be expressed as a decimal rounded to two decimal places: 0.42 in this instance. Entries greater than 1 or equal to 0 will result in an error message. The default option is 1.00. Zero is not permitted as an option here, because schools closing prior to April 2014 and open for 0% of the year

should be recorded as a closure on the [Input & Adjustments sheet](#), and will then not appear on the [Local Factors](#) sheet at all.

Growing School (column P)

Please select Yes or No from the drop-down list to indicate whether the school has opened during the past 7 years and has not yet reached its full number of year groups. The default option is “No”. Any capping and scaling reductions specified in the formula are not applied to such schools.

High Needs Unit (column Q)

Please select Yes or No from the drop-down list to indicate whether the school has a high needs unit, by which we mean a special unit or resourced provision designated by the local authority for pupils with special educational needs (SEN), which is funded on the basis of places and top-up funding. The default option is “No” and **columns R to T** are greyed-out, so please note that unless you select “Yes” any figures you input in **columns R to T** will not be taken into account.

High Needs places (columns R to T)

If you have indicated that a school has a high needs unit, please fill in the relevant academic year 2013 to 2014 places for each phase, as agreed with the EFA and as funded by the maintaining local authority (in the case of such units attached to maintained schools) at £10,000 per place. These places will be deducted from a school’s number on roll figures in the calculations, because they will be funded through the High Needs Block rather than the Schools Block.

Split sites (column U)

This should be blank/zero unless the school has a split site (or sites) in which case, enter the actual cash you wish to allocate for split site funding. Please note that this figure should be entered as an actual value payable, which assumes that you have taken any adjustments for part year funding into account. Please see Annex 1 of the Operational Information for examples of acceptable split sites criteria, as well as possible payment methodologies.

14-15 Rates (column V)

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

Adjustment to 13-14 Rates (column W)

Enter here any necessary adjustment to account for any difference between previously submitted estimated 13-14 rates and now known actual rates. This may be a negative figure to reflect a previous over estimate or a positive figure to reflect an under estimate. For any recoupment academies, for which the 2013-14 DSG recoupment has been

adjusted to reflect the actual rates paid by the academies in question please leave blank/enter zero. Please ensure to provide a narrative in **column AN** for all adjustments made.

PFI (column X)

The allocations must be based on objective criteria, capable of being replicated for any academies in the LA area. Please note that this figure should be entered as an actual value payable, which assumes that you have taken any adjustments for part year funding into account. If left blank it will be treated as zero. Please see Annex 2 of the Operational Information for examples of acceptable methodologies.

14-15 Sixth form funding from DSG (column Y)

Enter here any continuing funding for post-16 pupils up to the per-pupil level of funding provided in 2013-14. Please note that this figure should be entered as an actual value payable, which assumes that you have taken any adjustments for part year funding into account. If left blank it will be treated as zero.

Other Adjustment to 13-14 Budget shares (column Z)

Enter here any necessary adjustment to account for any difference between previously submitted 13-14 Budget shares and now known actual values. This may be a negative figure to reflect a previous over estimate or a positive figure to reflect an under estimate. If left blank it will be treated as zero. Please ensure to provide a narrative in **column AN** for all adjustments made.

14-15 Approved Exceptional Circumstances 1-6 (columns AA to AF)

Enter here any exceptional circumstances you wish to apply. Please note that these must have been pre-approved by the EFA. This figure should be entered as an actual value payable, which assumes that you have taken any adjustments for part year funding into account. If left blank they will be treated as zero. See paragraphs 30 to 32 in the Operational Information for further information.

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

Please note that **column AA** is reserved for adjustments for any additional lump sum for schools which amalgamated during financial year 2013-14. Where schools amalgamated during this period, the resultant school will retain the equivalent of 85% of the aggregate lump sums during financial year 2014-15, the year after that in which they merged. Therefore, please enter here the additional lump sum that the schools amalgamated during FY13-14 are entitled to. Please note that you must apply to the EFA to apply an alternative total lump sum to an amalgamated school in exceptional circumstances – you

do not need EFA approval to give the school the equivalent of 85% of the aggregate lump sums.

14-15 Approved MFG Exemptions 1-3 (columns AG to AI)

Please include only those additional excluded items as applied for and approved in writing by the EFA. Please note that these are **new approvals and are different from what was approved last year**. These should be positive values and will be subtracted from the SBS for the MFG calculation. If left blank they will be treated as zero.

14-15 Technical adjustments 1-3 (column AJ to AL)

These can be either positive or negative values. **The figures will be subtracted from the SBS for the MFG calculation; therefore for a positive adjustment, please enter as a negative value.** If left blank they will be treated as zero. Please note that **column AJ** is reserved for high needs threshold adjustments and **column AK** for new delegation adjustments and only positive figures are permitted. For further information on new delegation please see paragraph 36 of the Operational Information.

The **high needs threshold adjustment** provided here can only be relevant to **new delegation** of high needs and therefore has to be a positive value (so that it will be subtracted from the 14-15 SBS for the MFG calculations); in the opposite case where there is a smaller delegation of high needs please fill in a positive value in the 13-14 respective technical adjustment on the [13-14 final baselines sheet](#). Please ensure you only provide the adjustment for each school in the relevant sheet; adding adjustments in both sheets for one school is not permitted. (This will also be included in the recoupment calculation for relevant recoupment academies in the [Recoupment sheet](#))

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

Comments (column AN)

Please provide a narrative if you have recorded any adjustments in **columns W or Z**. Please note that if you fail to provide a narrative you will get a “Fail” indication in the [Validation sheet](#).

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

Finally, the 14-15 Total Approved MFG Exemptions and technical adjustments to be used in the MFG calculations are calculated in **column AM**, by summing all the input values in **columns AG to AL**.

Adjusted Factors sheet

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

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

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

13-14 final baselines sheet

In this sheet you are required to provide 13-14 schools' baseline information - where this data is missing from the [13-14 submitted Baselines sheet](#) - as well as the 13-14 MFG exclusions and adjustments to be used for the MFG calculations in the [New ISB tab](#). The school list in **columns E to G** is populated automatically based on the information previously provided in the [Input & Adjustments sheet](#).

Image 3

LAESTAB	School Name	13-14 MFG NOR	13-14 Historical Commitments of 6th Form Funding from DSG	13-14 Rates	13-14 Post MFG Budget	Adjusted 13-14 MFG NOR	Adjusted 13-14 Historical Commitments of 6th Form Funding from DSG	Adjusted 13-14 Rates	Adjusted 13-14 Post MFG Budget
		16,371	£0	£7,200,000	£1,370,640	0	£0	£0	£0
9991002	School 2	407.00	£0.00	£150,000.00	£29,612.00				
9991003	School 3	311.00	£0.00	£150,000.00	£24,045.00				
9991004	School 4	394.00	£0.00	£150,000.00	£31,620.00				
9991005	School 5	345.00	£0.00	£150,000.00	£27,855.00				
9991006	School 6	209.00	£0.00	£150,000.00	£16,591.00				
9991007	School 7	205.00	£0.00	£150,000.00	£17,793.00				
9991008	School 8	79.00	£0.00	£150,000.00	£6,143.00				
9991009	School 9	367.00	£0.00	£150,000.00	£24,285.00				

The 13-14 baseline information in **columns H to K** is populated automatically from the [13-14 submitted Baselines sheet](#), with the relevant data as submitted by local authorities to the EFA. In particular, these columns include:

- **13-14 MFG NOR (column H):** This is the 13-14 NOR excluding the reception uplift (if applicable) and reduced by the number of high needs places (which are funded through the High Needs Block), and adjusted for the proportion of the year the school was open for.
- **13-14 Historical Commitments of 6th Form Funding from DSG (column I):** the 13-14 Historical Commitments of 6th Form Funding from DSG as submitted in the 13-14 New ISB tab.
- **13-14 Rates (column J):** the 13-14 rates as submitted in the 13-14 New ISB tab.
- **13-14 Post MFG Budget (column K):** The schools' post MFG budget as submitted in the 13-14 New ISB tab.

There are however a few instances where you are required to input this data manually in **columns L to O**. These are outlined below:

- If in **column H**, instead of a figure you get the following text: "13-14 baseline missing" (please see image 4). This could be either because the LAESTAB of the school in question in the [Schools Block data](#) does not match its LAESTAB in

the [13-14 Submitted baselines](#), or simply because the baseline is not included in the [13-14 Submitted baselines](#). In both cases please input the baseline figures manually in **columns L to O**.

- If in **column H**, instead of a figure you get the following text: "Please fill in columns L to O". This means that this is a newly amalgamated school, or an academy with more than one predecessor. In this case you are required to calculate the baseline for the school in question and input it manually in **columns L to O**.
- Lastly, if there has been a change in your baseline figures, please input the correct figures in **columns L to O**. Please ensure you provide a narrative explaining the reason for this change in the Comments column (**column P**).

If in **column H**, instead of a figure you get the following text: "Predecessor LAEstab missing". This means that a record of a school that has converted to an academy status before 1 January 2014 has been made in the [Input & Adjustments tab](#), but the predecessor LAESTAB has not been provided in **column B**. Please make sure you fill in the correct predecessor LAESTAB (even if it hasn't changed post conversion) and the baseline figures should be automatically populated in **columns H to K** of the [13-14 final Baselines sheet](#).

Image 4

G	H	I	J	K
<p>omitted in the January 2013 proforma will be used to calculate the 13-14 MFG SBS in column W. If you need to make any a issing please make sure its LAEstab or that of its predecessor (if the school has converted to an academy status) in this tab ut & Adjustments sheet, otherwise please fill in the baseline manually. If a school is the resultant school of an amalgamati lly. Please enter the technical and approved MFG exclusions is columns P:U.</p>				
School Name	13-14 MFG NOR	13-14 Lump Sum incl fringe payment	13-14 Rates	13-14 Post MFG Budget
School 4	13-14 baseline missing			
School 5	345.00	£150,000.00	£27,855.00	£2,088,164.09

Lastly, you are required to fill in the following information:

- **13-14 Approved MFG Exemptions 1-3 (columns Q to S)**: Please include only those additional excluded items as applied for and approved in writing by the EFA. Please note that these are new approvals and are different from what were approved last year. These should be positive values and will be subtracted from the SBS for the MFG calculation.

- **13-14 Technical adjustments 1-3 (column T to V):** These can be either positive or negative values. The figures will be **subtracted** from the SBS for the MFG calculation and therefore for a positive adjustment, please enter as a negative value. Please note that **column T** is reserved for high needs threshold adjustments.

The **high needs threshold adjustment** provided here can only be relevant to a **smaller delegation** of high needs in 14-15 and therefore has to be a positive value (so that it will be subtracted from the 13-14 SBS for the MFG calculations); in the opposite case where there is new delegation of high needs please fill in a positive value in the 14-15 respective technical adjustment on the [Local Factors sheet](#). Please ensure you only provide the adjustment for each school in the relevant sheet; adding adjustments in both sheets for one school is not permitted. (This will also be included in the recoupment calculation for relevant recoupment academies in the [Recoupment sheet](#))

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

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

Lastly, the 13-14 MFG SBS and the 13-14 MFG SBS per pupil to be used in the MFG calculations in the [New ISB sheet](#) are calculated in **columns Y and Z**.

Commentary sheet

If you have used any of the factors listed below in any other sheet of the tool or if you are applying any of these funding elements any outside the APT, please provide full details of the methodology used and where appropriate use examples:

- **13-14 Approved MFG Exclusions and technical Adjustments.** An example would be a school ceasing to be eligible for split sites factor so that their split sites funding for 13-14 is excluded from the baseline. Please see paragraphs 38 and 39 of the Operational Information for further details.
- **14-15 Approved MFG Exclusions and technical Adjustments.** An example would be central funding for PFI costs being delegated for the first time in 14-15, so the PFI factor is excluded from MFG to ensure the schools receive the benefit of the additional delegation. Please see paragraphs 38 and 39 of the Operational Information for further details.
- **14-15 Approved Exceptional Funding**, such as rents or joint use. Please see paragraphs 30 to 32 in the Operational Information for further details.
- **Growth funding.** Please see Annex 3 of the Operational Information for examples of acceptable methodologies.
- **Additional funding from the high needs budget.** Describe here the formula or criteria you have developed and agreed with schools to distribute any additional funding from the high needs budget, outside the main funding formula for mainstream schools and academies. This should **not** include any top-up funding in respect of individual pupils with high needs, or any place-led funding for special units or resourced provision. Please see paragraphs 71 and 72 of the Operational Information for further details.
- **Falling rolls fund.** 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. Please see paragraph 57 and Annex 4 of the Operational Information for further details.
- **Split sites.** Please see Annex 1 of the Operational Information for examples of acceptable split sites criteria, as well as possible payment methodologies.
- **PFI funding.** Please see Annex 2 of the Operational Information for examples of acceptable methodologies.
- **Sixth Form Funding.** Please provide full details of the unit value and the total number of sixth form pupils the funding covers. Please ensure that the 14-15 unit value is not higher than the 13-14 one.

- **General supporting comments and other relevant information.** Please provide any information that you think might be relevant to the calculation of 14-15 budgets which you have not been able to include anywhere else, or any further information to clarify or support your data.

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

Proforma sheet

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

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

One significant change to the proforma for 2014-15 is that you now have to indicate for each factor the percentage, which contributes to making up each school's notional SEN budget. The total notional SEN budget per school will then automatically be calculated in the [New ISB](#) sheet.

Please read the following sections for detailed step-to-step instructions of how to complete the proforma.

Basic Entitlement

Image 5

	Reception uplift	Yes	Pupil Units	68			
	Description	Amount per pupil	Pupil Units	Sub Total	Total	Proportion of total pre MFG funding (%)	Notional SEN (%)
1) Basic Entitlement Age Weighted Pupil Unit (AWPU)	Primary (Years R-6)		10,486.00	€0	€0	0.00%	
	Key Stage 3 (Years 7-9)		4,004.00	€0		0.00%	
	Key Stage 4 (Years 10-11)		2,654.00	€0		0.00%	

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

Deprivation

Image 6

	Description	Primary amount per pupil	Secondary amount per pupil	Eligible proportion of primary NOR	Eligible proportion of secondary NOR	Sub Total	Total	Proportion of total pre MFG funding (%)	Primary Notional SEN (%)	Secondary Notional SEN (%)
2) Deprivation	N/A					€0	€0	0.00%		
	FSM/Primary					€0				
	FSM/Secondary					€0				
	N/A					€0				
	IDACI Band 1			304.59	199.44	€0				
	IDACI Band 2			654.40	402.31	€0				
	IDACI Band 3			1,334.62	955.01	€0				
	IDACI Band 4			2,802.86	1,697.69	€0				
IDACI Band 5			2,790.31	1,702.10	€0					
IDACI Band 6			1,095.87	1,001.31	€0					

1. Please select a free school meals (FSM) indicator from the drop-down list. If you are not using this deprivation factor please select N/A.
2. Enter an amount per pupil for primary and secondary in the designated cells for the factors you select to include in your formula. Negative figures are not permitted. Please note that you must select **at least one** deprivation factor. If you do not do so it will be flagged up as a “Fail” in the [Validation sheet](#).
3. Lastly please indicate for each phase the proportion of the deprivation funding that is relevant to the notional SEN budget. Enter a decimal between 0 and 1 inclusive. Negative figures are not permitted.

Other pupil-led factors

Please follow the same procedure for the remaining pupil-led factors (LAC, prior attainment, EAL and mobility) which you wish to use in your formula. Please note that the total pupil-led funding must be **at least 80%** of the total pre MFG funding shown in **cell J54**. The proportion of the pupil-led funding is automatically calculated for you in **cell J67**. If the 80% minimum threshold criterion is not met the proportion will be highlighted in red and it will be flagged up as a “Fail” in the [Validation sheet](#).

Lump sum

Image 7

Factor	Lump Sum per Primary School (£)	Lump Sum per Secondary School (£)	Tapered sparsity lump sum?	Total (£)	Proportion of total pre MFG funding (%)	Notional SEN (%)
7) Lump Sum				£0	0.00%	
8) Sparsity factor				£0	0.00%	
Please provide alternative distance and pupils number thresholds for the sparsity factor below. Please leave blank if you want to use the default thresholds						
Primary distance threshold		Secondary distance threshold				
Primary pupil number threshold		Secondary pupil number threshold				

1. Enter the lump sum to be paid per primary school and per secondary school. The fixed lump sum per school should not exceed £175,000 including the fringe payment.

Sparsity

2. Enter the sparsity lump sum per primary school and per secondary school. This value in each case should not exceed £100,000 including the fringe payment.
3. Enter the primary and secondary average distance-to-second-school threshold you wish to use. These must be a minimum of 2 (miles) for primary, middle and all-through schools and 3 for secondary schools. **If you leave these input cells blank the APT will assume you wish to use the minimums.** However please do enter the thresholds you wish to use here for the avoidance of confusion.
4. Enter the primary and secondary maximum number of Schools Block funded pupils a school must have to be eligible to attract funding under your sparsity factor. These must be a maximum of 150 (pupils) for primary and 600 for secondary, middle and all-through schools. **If you leave these input cells blank the APT will assume you wish to use the maximums.** However please do enter the thresholds you wish to use here for the avoidance of confusion.
5. Please select from the drop-down list in cell whether you want the lump sum to be tapered (meaning that a school will receive a proportion of the specified lump sum amount, depending on how far below the funded pupils threshold it is), or not (meaning all schools meeting the specified sparsity criteria get the amount entered at 2 above, irrespective of the number of pupils in attendance).

For more information on the sparsity factor please see paragraphs 20 to 25 of the Operational Information.

Other factors

Image 8

9) Fringe Payments	£0	0.00%	
10) Split Sites	£0	0.00%	
11) Rates	£0	0.00%	
12) PFI funding	£0	0.00%	
13) Sixth Form	£0	0.00%	
14) Exceptional circumstances (can only be used with prior agreement of EFA)			
Circumstance	Total (£)	Proportion of total pre MFG funding (%)	Notional SEN (%)
Additional lump sum for schools amalgamated during FY13-14	£0	0.00%	
Exceptional Circumstance2	£0	0.00%	
Exceptional Circumstance3	£0	0.00%	
Exceptional Circumstance4	£0	0.00%	
Exceptional Circumstance5	£0	0.00%	
Exceptional Circumstance6	£0	0.00%	

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

Minimum funding guarantee (MFG); capping and scaling

Image 9

15) Minimum Funding Guarantee (MFG is set at -1.5%)				£0	
Apply capping and scaling factors? (gains may be capped above a specific ceiling and/or scaled)				Yes	
Capping Factor (%)	5.00%	Scaling Factor (%)	0.00%		
Total deduction if capping and scaling factors are applied				£0	
Please note that if you have selected a 0% scaling factor you essentially will be applying no capping at all.				Total (£)	Proportion of Total funding(%)
MFG Net Total Funding (MFG + deduction from capping and scaling)				£0	0.00%

2

3

1. Please select from the drop-down list whether you wish to apply capping and scaling factors. If you select “No”, the relevant area will be greyed-out and you will not be required to input any further information. Any figure you enter in the greyed-out cells will be ignored in the calculation cells.
2. If you have selected “Yes” in step 1 please enter a capping factor. Schools with gains will keep all gains below the capping factor (so, for example, a capping

factor of 5% means schools will keep the first 5% of gains on a per pupil basis). Note that for 14-15 the minimum value of the capping factor is 0%, so negative percentages cannot be entered.

3. Please provide a scaling factor. The scaling factor indicates by how much any gains above the capping factor will be scaled back. A scaling factor of 100% scales back 100% of gains above the capping factor. A scaling factor of 50% scales back half of gains above the capping factor. A scaling factor of 0% allows schools to retain all gains and therefore in effect applies no capping factor; a warning message will appear on the Proforma page if you select “Yes” in step 1 but are specifying a 0% scaling factor. The scaling factor must be between 0% and 100% inclusive. Values outside this range cannot be entered.

Please see a few examples of what different choices of capping and scaling factors would mean:

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

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

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

High Needs Threshold

Image 10

High Needs threshold (only fill in if, exceptionally, a high needs threshold different from £6,000 has been approved)	
---	--

Please only fill in this cell if, exceptionally, a high needs threshold different from £6,000 has been approved by the EFA.

Proforma outputs

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

Image 11

Total Funding For Schools Block Formula	£0.00
% Distributed through Basic Entitlement	0.00%
% Pupil Led Funding	0.00%
Primary:Secondary Ratio	1: XX

Please note that if the 80% minimum pupil-led funding threshold criterion is not met, the percentage displayed in **cell J67** will be highlighted in red and it will be flagged up as a “Fail” in the [Validation sheet](#).

The methodology used for calculating the primary: secondary ratio in the APT matches that used by the EFA in the publication of local authorities’ 13-14 Schools Block funding formulae, a description of which can be found here:

[Schools Block funding formulae 2013-14: Analysis of local authorities’ Schools Block funding formulae](#)

De-delegation sheet

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

For the purposes of de-delegation please note that:

- Schools are primary/secondary as they are deemed in the “phase” field of the [School Block Data](#) or the [Input & Adjustments sheets](#). All-through schools are treated as secondary schools.
- Academies are not included and will have a de-delegation value of £0.00.

The sheet contains two tables, a unit value input table (Image 10) and a school-level calculation table (Image 11).

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

Image 12

	De-delegation unit value input table							
	Units Including fringe uplift		Contingencies		Free School Meals Eligibility		Insurance	
	Primary	Secondary	Primary	Secondary	Primary	Secondary	Primary	Secondary
Primary AWPU	-	-						
Secondary AWPU		-						
FSM6 % Primary	-							
FSM6 % Secondary		-						
IDACI Band 1	-	-						
IDACI Band 2	-	-						
IDACI Band 3	-	-						
IDACI Band 4	-	-						
IDACI Band 5	-	-						
IDACI Band 6	-	-						
LAC X March 12	-	-						
Low Attainment % Primary 73	-							
Secondary pupils not achieving (KS2 level 4 English and Maths)		-						
EAL 2 Primary	-							
EAL 2 Secondary		-						
Mobility %	-	-						
Lump Sum	39.00	9.00						
For the Sparsity factor only please enter a percentage and not a unit value								
Sparsity funding	-	-						

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

Image 13

School-level de-delegation table																				
LAESTA B	School Name	Phase	Basic Entitlement	FSM	IDACI Score 0.2-0.25	IDACI Score 0.25-0.3	IDACI Score 0.3-0.4	IDACI Score 0.4-0.5	IDACI Score 0.5-0.6	IDACI Score 0.6-1	LAC	Low Attainment	EAL Primary	EAL Secondary	Mobility	Lump Sum	Sparsity lump sum	Fringe factor	Total	
Total			£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0	
9991002	School 2	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991003	School 3	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991004	School 4	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991005	School 5	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991006	School 6	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991007	School 7	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991008	School 8	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991009	School 9	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991010	School 10	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991011	School 11	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991012	School 12	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991013	School 13	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
9991014	School 14	P	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00

New ISB sheet

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

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

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

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

School level SB sheet

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

This sheet allows the user to display the funding the selected school will receive under the formula entered in the APT. There is space for an LA to include their logo or crest on this page, and you may find it helpful for generating a summary of 14-15 funding which you can send to schools in your area.

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

Recoupment sheet

This sheet estimates the amount to be recouped for all recoupment academies that open prior to 1 January 2014. This cut-off date is set to make sure that only known conversions are recorded and also to ensure consistency across local authorities. **Columns D to G and column J** are automatically populated with the list of recoupment academies, their post MFG budget calculated in the [New ISB sheet](#) and the high needs threshold adjustment provided in either the [Local Factors](#) or the [13-14 final baselines sheets](#).

If the delegated high needs funding has been increased in 14-15 and is therefore added as a 14-15 technical adjustment, 5/12th of this figure is deducted from the recoupment amount to allow the LA more funding to support the academies for the period April to August 2014. If, on the other hand, the delegation is reduced in 14-15 and therefore added as a 13-14 technical adjustment, 5/12th of the figure will be added to the recoupment amount.

You will then be required to populate **column H** with the growth funding adjustment for academies for the period April to August 2014 (if applicable). This should be a positive figure which will be excluded from the total recoupment amount. Please also provide a narrative to explain how the adjustment has been calculated in **column I**. In circumstances where growth funding has been provided to an academy from September 2013 please ensure that the narrative provided here is consistent with the growth fund narrative in the 2013-14 proforma.

Image 14

LAESTAB	School Name	Post MFG Budget	Growth funding adjustment for April 2014- August 2014	Justification for growth fund adjustment	High Needs threshold adjustment	Total recoupment
		£2,151,289.33	£12,000.00		£62,599.99	£2,201,889.32
9991008	School 8	£1,156,275.33	£12,000.00	Please enter a narrative	£20,833.33	£1,165,108.66
9991016	School 16	£995,014.00			£41,766.66	£1,036,780.66

Lastly, the total recoupment amount for each academy is calculated in **column K** by subtracting the growth funding adjustment and adding or subtracting the high needs threshold adjustment (depending on the type of adjustment) from the Post MFG Budget.

Please note that the recoupment figures calculated in this sheet are provisional and are subject to change. The EFA will write to each authority by the end of April 2014 providing the final recoupment amounts with respect to all academies that will have opened by 31 March 2014.

During financial year 2014-15 academies will inform the EFA of the rates invoices that they are required to pay. We will use this data to adjust the amount we recoup from LAs in respect of rates. The intention is to ensure that the amount we recoup from LAs in respect of rates is exactly the same as the amount paid by academies.

Validation sheet

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

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

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

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

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

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

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

Contact Information

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

ReformTeam.Funding@education.gsi.gov.uk

Annex A – Local adjustments to the supplied data

In some cases it will be necessary to use a local calculation or estimate, based on the technical descriptions given in the Schools Block Dataset Technical Specification published by the EFA alongside this instruction note, to ensure the data used is representative. This only applies to individual schools. This section describes when and how this should take place. Adjustments should be recorded via the [Input & Adjustments sheet](#), as already described.

Schools undergoing change

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

We also expect local authorities to request approval to vary the pupil numbers used for specific schools where a school has changed, or is going to change, its age range either by adding or losing year groups.

Individual data points that are not representative

For some schools the indicators will not be representative. An example of this is found in the mobility indicator. For instance, if a school had opened in April two years ago, then the majority of its pupils will be classed as mobile. In this case, it would be reasonable to use a local estimate for the mobility indicator, instead of the figure provided in the [Schools Block Data sheet](#). Making such a change does not require prior EFA approval, but commentary is still required in the APT.

Anomalous primary/secondary pupils

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

Sparsity distances

Local authorities can make exceptional applications for schools that would have had significantly higher distances if road distances had been used instead of crow flies distances. Similarly exceptional applications can be made for schools that open after the distances have been calculated. An existing school that qualifies for sparsity funding in the data provided will not lose that funding in year if a new school opened nearby. For

schools that may qualify for sparsity funding as a result of another school nearby closing, exceptional applications should be agreed with the relevant Schools Forum, and submitted to the EFA for approval.

Annex B – Frequently Asked Questions

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

A: No. The prepopulated data contained in the [Schools Block Data](#) sheet and the [13-14 submitted Baselines sheet](#) is locked and cannot be changed – this also applies to the order in which the schools and academies are listed. The order of schools listed on the Local Factors sheet (and consequently the [Adjusted Factors](#), [13-14 final baselines](#), [De-delegation](#), [New ISB](#) and [Recoupment](#) sheets) is the same as in the Schools Block Data sheet, with any schools added to the list using the [Input & Adjustments](#) sheet appearing at the bottom.

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

Q: Why is the London Fringe column (column K) in the Input & Adjustments sheet prepopulated with 1.00 entries?

A: This is needed so that the APT's formulae work correctly. However these values can be changed: for any school for which an adjustment is recorded here that is on the London Fringe, LAs simply need to instead select the 1.016... option from the drop-down list in this column.

Q: What will the APT you send us in December look like?

A: This will be identical to the APT we are sending you in June – with the exception that the [Schools Block Data](#) sheet will contain data taken from the October 2013 school census rather than October 2012. Other than the two prepopulated sheets, the rest of the APT will again therefore be blank.

Q: I've got a school which amalgamated during 13-14 but the lump sum amount automatically calculated in the New ISB sheet is too low – it does not show the full amount of 85% of the combined lump sum of the predecessors. However the New ISB is locked so how can I adjust this?

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

Column AC of the [New ISB](#) sheet is populated automatically with the lump sum amount due to a school based on its phase. For schools which were created from a merger during 13-14, this is not the full lump sum amount to which they are entitled under the 85% arrangement. You should record in column AA of the [Local Factors](#) sheet as

Approved Exceptional Circumstance 1 the **additional** lump sum funding, over and above the amount shown in column AC of the [New ISB](#) sheet, that the school will receive (NB: do not enter the school's full lump sum amount here: just the additional amount). In the [New ISB](#) sheet, the sum of the amounts shown in column AC and column AJ for the school should sum to the correct lump sum figure.

Q: One of the academies listed in the Schools Block Data sheet is a part-recoupment academy. Do I need to adjust the data to ensure only the recoupment part feeds through into the rest of the APT's calculations?

A: Those academies which were part-recoupment in 2013-14 will be funded as entirely recoupment academies in 2014-15. These are all listed as "recoupment academy" in the prepopulated [Schools Block Data](#) sheet, so you do not need to use the [Input & Adjustments](#) sheet to record this change to your prepopulated data.

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

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

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

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

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

A: It is very important to check that the school list in the [Local Factors sheet](#) displays the correct maintained schools and recoupment academies expected to be funded in 2014-15, BEFORE entering any data here, because if you record further adjustments in the

Input & Adjustments sheet after entering data the [Local Factors](#) school list will change accordingly but the data you have entered in the light blue cells will stay in the same place. As such, some or all of that data may now appear against the wrong school or academy. If, however, it is not possible to complete the APT in this sequence we suggest saving a separate copy of your APT once you've completed the bulk of your entries. Then, if you need to input new/amalgamated/converter schools at a later stage, you can use a lookup formula to populate the [Local Factors sheet](#) with figures contained in your separately-saved copy.

Q: One of the academies that converted prior to 1 January 2014 has more than one predecessor school. How do I record this adjustment in the Input & Adjustments sheet?

A: In the [Input & Adjustments](#) sheet, select the reason "Conversion to academy status prior to 1 January 2014" in column A. Then, in columns B to E enter the LAESTABs of all predecessor schools. Fill in the remaining cells in the sheet as required, bearing in mind that if the academy has kept the LAESTAB number of one of its predecessors you only need to enter data for the NOR or proportions where a change is needed from the figures for the predecessor school contained in the [Schools Block Data](#) sheet. You do not need to re-enter data for factors where no change is needed and should leave such cells blank. The APT's formulae in the subsequent sheets will automatically pick up the relevant factors data from the [Schools Block Data](#) sheet.

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

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

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

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

Annex C – Anomalies in the APT and proposed workarounds

Issue 1 - #N/A in columns H to K in the “13-14 final baselines sheet”

There is a chance you might get #N/A indication in columns H to K in the [13-14 final baselines](#) sheet. This will only occur for schools that meet **all three** criteria described below:

1. Have converted to academies, but the conversion has not yet happened by the time of the October 2012 Census, so appear with the predecessor school LAESTAB in the prepopulated [Schools Block Data](#) sheet,
2. Were recorded by the LA as an academy in the January submission to the EFA using their brand new LAESTAB; they therefore appear with the new academy LAESTAB in the prepopulated [13-14 submitted baselines](#) sheet, and
3. The user has recorded the conversion in the [Input & Adjustments](#) sheet of the APT as prescribed in the ["Conversion to academy status prior to 1 January 2014"](#) section of these instructions.

This issue occurs because for all conversions recorded in the [Input & Adjustments](#) sheet the APT is using the LAESTAB of the predecessor school (provided in column B) to look up the baselines from the 13-14 submitted baselines sheet. In these particular cases, the schools will be recorded with the new academy LAESTAB, and therefore the lookup formulae in the [13-14 final baselines](#) sheet cannot locate them; therefore #N/A is displayed.

This will only affect the June version of the APT, as all conversions will have been accounted for in the October 2013 census data which will be prepopulated in the [Schools Block Data](#) sheet of the December version.

What to do:

To tackle this issue for the provisional October submission of formulae to the EFA, users will need to follow the steps below:

- In the [Input & Adjustments](#) sheet, record the predecessor school as a school closing before April 2014, as described in the ["School closed prior to 1 April 2014"](#) section of the APT instructions; this will ensure that the school doesn't appear twice in the spreadsheet.
- Then record the conversion of the school in question as prescribed in the ["Conversion to academy status prior to 1 January 2014"](#) section of the APT instructions, but instead of inputting the predecessor LAESTAB in column B, input

the LAESTAB of the academy in both columns G and B; this will ensure that the correct baseline information will be picked up from the 13-14 final baselines sheet.

- Input the Schools Block data information for the affected school again in the [Input & Adjustments](#) sheet, as the APT will no longer look up the data from the [Schools Block Data](#) sheet. For ease you can copy the data of the predecessor school from columns C to AT in the Schools Block data sheet in one go, and then paste as values in columns H to AY of the Input & Adjustments sheet in the row for the new academy, making sure you amend the academy type to recoupment academy in column J.
- Provide a brief narrative in column AZ to explain the situation.

Issue 2 - Lump sum apportioning for the MFG calculations

The 13-14 MFG SBS per pupil figure in column Z of the [13-14 final baselines](#) sheet, which is then used to calculate the MFG adjustment in the [New ISB](#) sheet, is calculated as follows:

$$[1314 \text{ Post MFG Budget} - (13-14 \text{ Rates} + 13-14 \text{ Historical Commitments of 6th Form Funding from DSG} + 13-14 \text{ Approved MFG Exemptions and Technical adjustments} + 14-15 \text{ Lump sum and Sparsity funding})] / 13-14 \text{ MFG NOR}$$

The anomaly reported in the June version of the APT is that all figures in the above formula are adjusted for part-year funding **apart from** the 14-15 lump sum and sparsity funding. This results in an anomaly whereby the whole year's value is deducted from the proportioned budget share, thus resulting in an artificially low or in some cases negative MFG SBS per pupil value, which in turn gives rise to an excessively high MFG.

This issue will **only** affect schools that have been open, or will be open, for only **part of the year 2013-14**, and not any of the schools that are open for the full year.

This anomaly will be corrected in the December version of the APT.

What to do:

To tackle this issue for the provisional October submission of formulae to the EFA, users will need to adjust the baseline figures **only** for the schools that have been or will be open for only **part of the year 2013-14** to uprate them to full year amounts, following the steps described below:

- First, manually calculate the up-rated 13-14 MFG NOR, 13-14 Rates, 13-14 Historical Commitments of 6th Form Funding from DSG and 1314 Post MFG Budget figures for the schools in question. This should be done by **dividing the**

part-year figures shown in columns H to K of the [13-14 final baselines](#) sheet by the proportion of year 2013-14 the schools will be open for.

[Please note that for schools that have opened after the January 2013 submission and are therefore not included in the baseline data held by the EFA, no baseline figures will be displayed in columns H to K. In this case please ensure you input the full year figures manually.]

For example, School A opens in January 2014 and will therefore be open for 3 months of the year so the proportion of the year the school is open for equals 0.25 (as $3/12=0.25$). The part-year baseline figures of the school are shown in image 15 below:

Image 15

School Name	13-14 MFG NOR	13-14 Historical Commitments of 6th Form Funding from DSG	13-14 Rates	13-14 Post MFG Budget
School A	150	£10,000	£5,000	£300,000

To calculate the full year figures you will need to divide by the proportion of year 2013-14 the schools will be open for (0.25), which will give you the figures in image 16:

Image 16

School Name	13-14 MFG NOR	13-14 Historical Commitments of 6th Form Funding from DSG	13-14 Rates	13-14 Post MFG Budget
School A	600	£40,000	£20,000	£1,200,000

- Next, input the resulting adjusted figures in cells L to O of the [13-14 final baselines](#) sheet, irrespective of whether baseline figures are displayed in the automatically-calculated columns H to K.
- Ensure the 13-14 MFG exclusions and technical adjustments you input in columns Q to V are also full-year amounts.

The APT should then calculate the 13-14 MFG SBS per pupil figure correctly in column Z of the [13-14 final baselines](#) sheet.

Issue 3- Sparsity factor eligibility- middle and all-through schools

As far as eligibility for the sparsity factor is concerned, middle schools and all-through schools should be compared to the **primary** and not the **secondary** distance threshold, as is currently modelled within the [New ISB](#) sheet of the APT.

This issue will **only** affect:

1. Middle and all-through schools;
2. In a LA that chooses to use the sparsity factor.
3. With a sparsity distance greater or equal to the primary threshold you have specified in the Proforma sheet AND less than the secondary threshold you have specified;
4. With a total NOR of less than 600;

This anomaly will be corrected in the December version of the APT.

What to do:

To tackle this issue for the provisional October submission of formulae to the EFA, users will need to adjust the sparsity factor figures **only** for the affected schools following the steps described below:

- First, identify the schools that meet all four criteria described above.
- Next, amend their sparsity factors in the [Input & Adjustments](#) sheet, by selecting “Other” from the drop-down list in column A, providing their LAEstabs in column G and finally entering a proxy sparsity distance value which is **greater than or equal to the secondary sparsity distance threshold you have specified** in column AY. In this manner, you will ensure that the automatic calculations within the APT correctly allocate these schools with sparsity funding. (If you have done this correctly, then schools which should be eligible for sparsity funding will now contain values in column AD of the New ISB sheet.)
- Lastly, please ensure to provide a narrative in column AZ explaining the reason for this adjustment.

Issue 4- Sparsity factor – application of tapered and fixed lump sums for different phases

LAs are allowed to set the sparsity factor as tapered for one phase, but fixed for the other, if they wish. However, at the moment the APT only allows the user to set either tapered OR fixed for both phases (via cell I36 of the Proforma sheet).

This will **only** affect LAs that wish to apply a tapered sparsity lump sum for one phase and fixed one for the other.

This anomaly will be corrected in the December version of the APT.

What to do:

To tackle this issue for the provisional October submission of formulae to the EFA, users affected by this anomaly will be required to follow the steps described below:

- First, select “Yes” from the drop-down list in cell I36 of the [Proforma](#) sheet to specify you want to use a tapered lump sum; enter your lump sums for each phase in cells E36 and G36.
- Then, for each of the schools in the phase for which you want the sparsity lump sum to be **fixed**, calculate the difference between the fixed lump sum you have selected for this phase in either cell E36 or G36 of the [Proforma](#) sheet and what the APT calculates automatically (which will be tapered) in column AD of the [New ISB](#) sheet. Please note these figures can **only be positive**.

For example, let’s assume that you want to apply a tapered lump sum for the primary phase and a fixed lump sum of £90,000 for the secondary phase. One of the secondary schools, School A, has 400 pupils and a sparsity distance greater than your specified threshold of 3 miles and is therefore eligible for sparsity funding.

The tapered lump sum the APT automatically calculates for School A is £30,000 [$1-400/600 * £90,000$].

Therefore the difference between the fixed and the tapered lump sums is £60,000 (£90,000- £30,000).

- Subsequently record the differences you’ve calculated for each affected school as an Exceptional circumstance in column AB of the [Local Factors](#) sheet. These differences will automatically be added to the tapered lump sums the APT has calculated.
- Please also type “Difference between tapered and fixed sparsity lump sums for the primary/secondary phase” in cell AB3 of the Local Factors sheet, so that the reason for this Exceptional circumstance will appear in the [Proforma](#) sheet.
- Ensure you exclude the amounts you’ve calculated above from the MFG calculation by recording them as MFG exclusions in columns AG and Q of the [Local Factors](#) and the [13-14 final baselines](#) sheet respectively.
- Lastly, ensure to provide a narrative in cell C12 of the [Commentary](#) sheet explaining the reason for this adjustment.

Issue 5- Adjusted 13-14 MFG NOR not feeding through the MFG calculations

LAs are allowed to adjust the prepopulated 13-14 MFG NOR of schools provided in the [13-14 Submitted baselines](#) sheet, subject to EFA approval. This can be done by providing alternative NOR figures in column L of the [13-14 Final baselines](#) sheet, which then feed through the calculation of the 13-14 MFG SBS per pupil in column Z. However, at the moment column Z pulls through the original prepopulated 13-14 MFG NOR figures and not the adjusted figures provided in column L, resulting in wrong 13-14 MFG SBS per pupil figures.

This issue will **only** affect LAs that wish to adjust the prepopulated 13-14 MFG NOR. Please note that you will **not** be affected by this issue if get one of the following messages in column H of the [13-14 Final baselines](#) sheet: "Please fill in columns L : O", "13-14 baseline missing", "Predecessor LAEtab missing" and you need to fill in columns L to O manually.

This anomaly will be corrected in the December version of the APT.

What to do:

To tackle this issue for the provisional October submission of formulae to the EFA, users affected by this anomaly will be required to follow the steps described below:

- Columns M to O and Q to V need to be populated with the schools' baseline data. However if you fill in these columns with the correct baseline figures, column Z will calculate the wrong figures. You therefore need to multiply all the correct baseline figures by the original prepopulated 13-14 MFG NOR and then divide them by the adjusted 13-14 MFG NOR (the figure you want use).

For example let's suppose that the prepopulated data for School A are as shown below in Image 17, but the LA wishes to adjust the MFG NOR to 500.

Image 17

13-14 MFG NOR	13-14 Historical Commitments of 6th Form Funding from DSG	13-14 Rates	13-14 Post MFG Budget
400.00	£0	£10,000	£1,000,000

The LA will need to multiply the figures in Image 17 by 400 and then divided them by 500, which will result in the figures shown in Image 18.

Image 18

Adjusted 13-14 MFG NOR	Adjusted 13-14 Historical Commitments of 6th Form Funding from DSG	Adjusted 13-14 Rates	Adjusted 1314 Post MFG Budget
500	£0	£8,000	£800,000

- Make sure you do this for all the baseline figures and then record these figures in columns M to O and Q to V.
- Adjust the 14-15 lump sum and sparsity funding (column W). Now because this is a calculation column you will have to record this as a technical adjustment in column U.

The formula you need to use is: (14-15 lump sum and sparsity funding* the ration of original prepopulated 13-14 MFG NOR/ adjusted 13-14 MFG NOR) – 14-15 lump sum and sparsity funding.

For example, let's assume the 14-15 lump sum and sparsity funding for School A is £150,000, the calculation would be:

$$(\text{£}150,000 * 400 / 500) - \text{£}150,000 = -\text{£}30,000$$

By following those steps you will ensure that the 13-14 MFG SBS per pupil calculated in column Z will be the correct figure.

$$\text{In our example this will be } \text{£}800,000 - \text{£}8,000 - \text{£}150,000 - (-\text{£}30,000) \\ = \text{£}672,000 / 400 = \text{£}1,680$$

Which is the same figure you would get where the formula working correctly: $\text{£}1,000,000 - \text{£}10,000 - \text{£}150,000 = \text{£}840,000 / 500 = \text{£}1,680$

Annex D – Version control

The following amendments have been made to the original document which was published on 20 June 2013:

- Annex C had been added to describe two anomalies within the APT and the proposed workarounds.
- The “Note about part-recoupment academies” section in page 22 and the first question of page 50 in Annex B have been updated to reflect the Department’s decision on the treatment of part-recoupment academies for 2014-15.

The following amendments have been made to the July 10th version of the document which was published on 28 June 2013:

- Issues 3 and 4 have been added to Annex C to describe two anomalies within the APT, relevant to the sparsity funding and the proposed workarounds.

The following amendments have been made to the July 18th version of the document which was published on 28 June 2013:

- Issue 5 has been added to Annex C had been added to describe one anomalies within the APT, relevant to the calculation of the 13-14 MFG SBS per pupil figure in the [13-14 final baselines](#) sheet
- An additional step has been added in the workaround for Issue 4 in page 56 of Annex C



Education
Funding
Agency

© Crown copyright 2013

You may re-use this information (excluding logos) free of charge in any format or medium, under the terms of the Open Government Licence. To view this licence, visit <http://www.nationalarchives.gov.uk/doc/open-government-licence/> or e-mail: psi@nationalarchives.gsi.gov.uk.

Where we have identified any third party copyright information you will need to obtain permission from the copyright holders concerned.

Any enquiries regarding this publication should be sent to us at: ReformTeam.FUNDING@education.gsi.gov.uk.

Reference: EFA-00086-2013