

West Berkshire Council - Balance Control Mechanism

Information on School Balances 2014/15

All yellow boxes (where required) to be completed and the form returned to the Schools Finance Team, Finance Department no later than 18th May 2015
 Note that a positive figure is a surplus balance, a (negative) figure is a deficit balance

Englefield Church of England Primary School

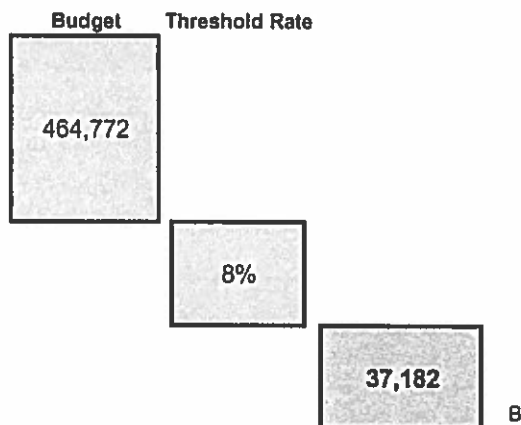
A. Closing Balances (revenue balance ONLY as per CFR: excludes Community Focused)

	£	
Surplus / (deficit) as at 31 March 2015	40,942	A
Surplus / (deficit) as at 31 March 2014	19,442	
Increase / (decrease) on previous Year	21,500	
Of the closing balance as at 31 March 2015, what amount was committed (this information is required for CFR purposes)		
Committed		
Uncommitted	40,942	

B. Upper Threshold for Excess Balance

For mainstream schools "budget" is the 2015/16 total delegated budget allocation including resource unit/LAL funding, early years estimate, and 6th form funding, but excludes pupil premium grant, sports grants, SEN top up funding, and other income generated by the school. For other schools "budget" is the 2014/15 ACTUAL income/funding

Threshold rate is 8% Primary, 5% Secondary schools, or £20,000 whichever higher. 10% is a guideline for nursery schools, special schools and PRUs due to their funding being volatile



Upper Threshold

C. Calculation of Relevant School Balance

Surplus / (deficit) as at 31 March 2015	40,942		= A
Less: PPG and PE & Sports Grant carried forward (Funds 08 & 13)	422		
Less: Any other ring fenced grant funds with permission to carry forward, and funds being held on behalf of a cluster or partnership agreement		ENTER AS A POSITIVE FIGURE	please provide breakdown & details:
Relevant Surplus Balance 31 March 2015 (for purpose of calculating excess balance)	40,520		C

D. Amount by which Balance exceeds Threshold - The Excess Balance

If C < B, then nil

3,338	D = C - B
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Where there is a figure in Box D, explain how/why the school has accumulated such a large surplus balance:

School had been expecting an additional charge of £1K for exceeding SLA support package due to School Review carried out in November 14 (email S Godard 5/3/15 refers), recharge not made during financial year. School's monitoring of electricity had projected higher electricity costs, not all invoices were processed at year end as part of WB contract with British Gas

E. Use of Relevant Surplus Balance (C) - ONLY TO BE COMPLETED WHERE THERE IS A FIGURE IN BOX D

	Description of Planned Use of Balances included in your 2015/16 budget plan (see below for permitted use):	Planned Implementation Date	Amount £ (ENTER AS POSITIVE FIGURE)	Which Strategic Document	Purchase Order Number	Account Code in budget Plan
1	Capital Improvement - Governors 10% contribution to Phase 2 of Windows/Doors replacement project	May-15	3,500	Building Development Plan		K0200
2	School projected to go into deficit from 2016/17, as pupil nos. in Oct 15 projected to be 101 vs. 111 in Oct 14. Surplus balance 2015/16 to support future years		13,960	4-yr budget plan		
3						
4						
5						
Sub Total Planned Items			17,460			
Unplanned Balances included in your 2015/16 budget plan:				%		
1	General Contingency (as per code A0003 in your 2015/16 budget plan)		23,060		4.96%	
2	Balance not Identified (should come back to zero)		(0)			

F. Signatures

Headteacher:

Date:

Chair of Governors

Date:

Notes to the above

Thresholds

Note that the 8% and 5% thresholds are not targets, but the maximum percentage which should reasonably be retained for a planned use or a contingency to deal with unforeseen circumstances. In practice, most schools should be able to manage with balances of 2-3%

Permitted Uses of Balances:

- 1 A planned investment project within the School Development Plan or similar documents that will improve the quality of education/raise achievement with specific and explicit links to the objectives of the school.
 - e.g. additional staffing to support a specific purpose or activity
 - replacement of life expired equipment
 - capital improvement
 - investment in new technology
 - responding to health and safety requirements
 - improving access to school sites and buildings
 - responding to needs identified by Ofsted inspections
- 2 Sustaining appropriate levels of staffing through a planned period of turbulence up to a maximum of 3 years, supported by your 3 year pupil forecasts and budget plan i.e. temporary reduction in pupil numbers/funding
- 3 Where unavoidable delay has moved legally committed expenditure into the following financial year i.e. order placed, goods/service not received by 31st March

**** Note that balances cannot be used to fund on-going costs - these need to be funded on a sustainable basis****

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Information on School Balances 2014/15

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Inkpen Primary School

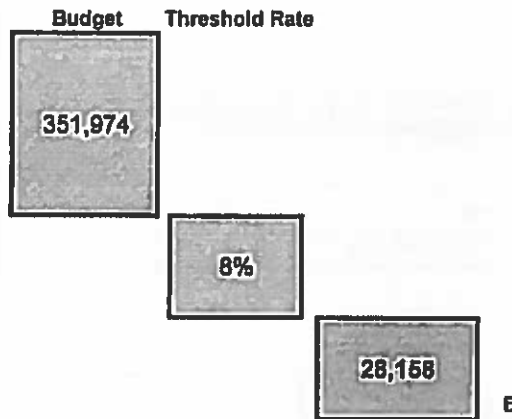
A. Closing Balances (revenue balance ONLY as per CFR: excludes Community Focused)

	£	
Surplus / (deficit) as at 31 March 2015	46,375	A
Surplus / (deficit) as at 31 March 2014	24,521	
Increase / (decrease) on previous Year	21,854	
Of the closing balance as at 31 March 2015, what amount was committed (this information is required for CFR purposes)		
Committed	7,369	
Uncommitted	39,006	

B. Upper Threshold for Excess Balance

For mainstream schools "budget" is the 2015/16 total delegated budget allocation including resource unit/LAL funding, early years estimate, and 6th form funding, but excludes pupil premium grant, sports grants, SEN top up funding, and other income generated by the school. For other schools "budget" is the 2014/15 ACTUAL income/funding

Threshold rate is 8% Primary, 5% Secondary schools, or £20,000 whichever higher, 10% is a guideline for nursery schools, special schools and PRUs due to their funding being volatile



Upper Threshold

C. Calculation of Relevant School Balance

Surplus / (deficit) as at 31 March 2015	46,375	= A
Less: PPG and PE & Sports Grant carried forward (Funds 08 & 13)	3,081	
Less: Any other ring fenced grant funds with permission to carry forward, and funds being held on behalf of a cluster or partnership agreement	ENTER AS A POSITIVE FIGURE	
Relevant Surplus Balance 31 March 2015 (for purpose of calculating excess balance)	43,294	C

D. Amount by which Balance exceeds Threshold - The Excess Balance

If C < B, then nil

15,136	D = C - B
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Where there is a figure in Box D, explain how/why the school has accumulated such a large surplus balance:

Works undertaken during the Easter break & invoices have almost all been paid in first instalment in April. Redecorating works, Electrical works identified in 5 yr survey, heating improvements, along with new website design and other small items totalling £7369 (orders on system pre March 15) The claw back figure being worked to was £30k not £28k as advised on the 2014/15 Budget allocation. Other contributing factor was that the FMS system was not clearing all the commitment for salaries for all staff, leaving two staffs commitment accumulating (£20K) and giving a false figure in the Budget Monitoring. This was identified following Governors meeting 12/2/15 when further investigation was undertaken, caused by a system fault as the school uses WB Auto Rec system and the newness and inexperience of the BM in using Auto Rec. Once manually adjusted this corrected the system & budget monitoring

E. Use of Relevant Surplus Balance (C) - ONLY TO BE COMPLETED WHERE THERE IS A FIGURE IN BOX D

	Planned Implementation Date	Amount £ (ENTER AS POSITIVE FIGURE)	Which Strategic Document	Purchase Order Number	Account Code In budget Plan
Description of Planned Use of Balances Included in your 2015/16 budget plan (see below for permitted use):					
1	Electrical Repairs, Heating improvements, Redecoration & Website Design	April/May 15	7,369		189/192/193/134 C0010 & E0500
2	Following the Supported Self Review by WB Improvement team on 6/3/15 need to strengthen leadership and make 2x temp appts with TLR3 for 16 mths for Maths & English Coordinators	May-15	3,438	School Improvement	A2100
3	Following on from the heating improvements during Easter further essential works (further leaking radiators & pipework) needs to be undertaken during the May half term break-email dated 11/4/15	May-15	1,700		28 C0010
4	SMART Board issues arise and advised 3 of 4 need replacing Governors approved 1 purchase now 29/4	Apr-15	1,020		27 E0505
5	2015/16 Contingency required to cover fall in income (small yr0) & 2017/18 then income restored.				
Sub Total Planned Items			13,526		
Unplanned Balances Included in your 2015/16 budget plan:					
1	General Contingency (as per code A0003 in your 2015/16 budget plan)		28,824	8.19%	
2	Balance not identified (should come back to zero)		945		

F. Signatures

Headteacher:



Date:

6.5.15

Chair of Governors



Date:

6.5.15

Notes to the above

Thresholds

Note that the 8% and 5% thresholds are not targets, but the maximum percentage which should reasonably be retained for a planned use or a contingency to deal with unforeseen circumstances. In practice, most schools should be able to manage with balances of 2-3%

Permitted Uses of Balances:

- A planned investment project within the School Development Plan or similar documents that will improve the quality of education/raise achievement with specific and explicit links to the objectives of the school.
 - e.g. additional staffing to support a specific purpose or activity
 - replacement of life expired equipment
 - capital improvement
 - investment in new technology
 - responding to health and safety requirements
 - improving access to school sites and buildings
 - responding to needs identified by Ofsted inspections
- Sustaining appropriate levels of staffing through a planned period of turbulence up to a maximum of 3 years, supported by your 3 year pupil forecasts and budget plan i.e. temporary reduction in pupil numbers/funding
- Where unavoidable delay has moved legally committed expenditure into the following financial year i.e. order placed, goods/service not received by 31st March

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Lambourn Church of England Primary School

A. Closing Balances (revenue balance ONLY as per CFR: excludes Community Focused)

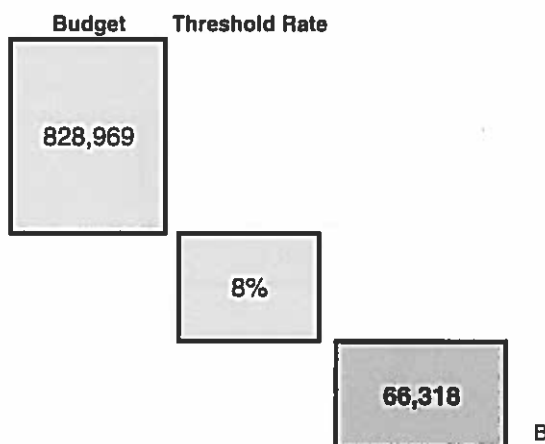
	£	
Surplus / (deficit) as at 31 March 2015	121,846	A
Surplus / (deficit) as at 31 March 2014	33,590	
Increase / (decrease) on previous Year	88,257	
Of the closing balance as at 31 March 2015, what amount was committed (this information is required for CFR purposes)		
Committed		
Uncommitted	121,846	

B. Upper Threshold for Excess Balance

For mainstream schools "budget" is the 2015/16 total delegated budget allocation including resource unit/LAL funding, early years estimate, and 6th form funding, but excludes pupil premium grant, sports grants, SEN top up funding, and other income generated by the school. For other schools "budget" is the 2014/15 ACTUAL income/funding

Threshold rate is 8% Primary, 5% Secondary schools, or £20,000 whichever higher. 10% is a guideline for nursery schools, special schools and PRUs due to their funding being volatile

Upper Threshold



C. Calculation of Relevant School Balance

Surplus / (deficit) as at 31 March 2015

121,846

= A

Less: PPG and PE & Sports Grant carried forward (Funds 08 & 13)

53,367

Less: Any other ring fenced grant funds with permission to carry forward, and funds being held on behalf of a cluster or partnership agreement

ENTER AS A
POSITIVE
FIGURE

please provide breakdown & details:

Relevant Surplus Balance 31 March 2015 (for purpose of calculating excess balance)

68,479

C

D. Amount by which Balance exceeds Threshold - The Excess Balance

If C < B, then nil

2,162

D = C - B

Where there is a figure in Box D, explain how/why the school has accumulated such a large surplus balance:

The school this year was unsuccessful in recruiting a Head Teacher so the Deputy acted as Head, saving the Deputy Head Salary. We also lost our SEN Teacher that was not replaced. We now have a permanent Head Teacher in place after successfully recruiting.

E. Use of Relevant Surplus Balance (C) - ONLY TO BE COMPLETED WHERE THERE IS A FIGURE IN BOX D

	Planned Implementation Date	Amount £ (ENTER AS POSITIVE FIGURE)	Which Strategic Document	Purchase Order Number	Account Code in budget Plan
Description of Planned Use of Balances included in your 2015/16 budget plan (see below for permitted use):					
1 Smartboards for KS1 New Build-Completion date estimated June 2015	Jul-15	10,408		LAMB071178	K0200
2 Covered KS1 Sandpit	Sep-15	5,000			K0200
3 Furniture/storge for KS1 building	Sep-15	10,000			K0200
4 Furniture/storage for new KS2 building	Sep-15	10,000			K0200
5 IT replacement in plan, meeting arranged with ERGO	Sep-15	20,000			K0200
Sub Total Planned Items		55,408			
Unplanned Balances included in your 2015/16 budget plan:					
1 General Contingency (as per code A0003 in your 2015/16 budget plan)		13,071		1.58%	
2 Balance not Identified (should come back to zero)		0			

F. Signatures

Headteacher:

Date:

Chair of Governors

Date:

Notes to the above

Thresholds

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Permitted Uses of Balances:

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replacement of life expired equipment
capital improvement
investment in new technology
responding to health and safety requirements
improving access to school sites and buildings
responding to needs identified by Ofsted inspections
- Sustaining appropriate levels of staffing through a planned period of turbulence up to a maximum of 3 years, supported by your 3 year pupil forecasts and budget plan i.e. temporary reduction in pupil numbers/funding
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Alternative Curriculum

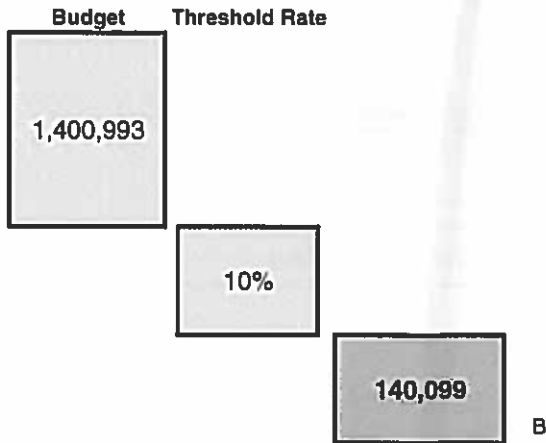
A. Closing Balances (revenue balance ONLY as per CFR; excludes Community Focused)

	£	
Surplus / (deficit) as at 31 March 2015	308,908	A
Surplus / (deficit) as at 31 March 2014	138,762	
Increase / (decrease) on previous Year	170,146	
Of the closing balance as at 31 March 2015, what amount was committed (this information is required for CFR purposes)		
Committed		
Uncommitted	308,908	

B. Upper Threshold for Excess Balance

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Upper Threshold

C. Calculation of Relevant School Balance

Surplus / (deficit) as at 31 March 2015	308,908		
		= A	
Less: PPG and PE & Sports Grant carried forward (Funds 08 & 13)	12,737		
Less: Any other ring fenced grant funds with permission to carry forward, and funds being held on behalf of a cluster or partnership agreement		ENTER AS A POSITIVE FIGURE	please provide breakdown & details:
Relevant Surplus Balance 31 March 2015 (for purpose of calculating excess balance)	296,171		C

D. Amount by which Balance exceeds Threshold - The Excess Balance

If C < B, then nil

156,072	D = C - B
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Where there is a figure in Box D, explain how/why the school has accumulated such a large surplus balance:

High needs funding for more students than anticipated

E. Use of Relevant Surplus Balance (C) - ONLY TO BE COMPLETED WHERE THERE IS A FIGURE IN BOX D

	Planned Implementati on Date	Amount £ (ENTER AS POSITIVE FIGURE)	Which Strategic Document	Purchase Order Number	Account Code in budget Plan
Description of Planned Use of Balances included in your 2015/16 budget plan (see below for permitted use):					
1 Upgrade replacement of windows at The Porch	Aug-15	100,000			K0200
2 Contingency to cover any staff disputes and/or redundancies	As necessary	75,000			A6910
3 Additional activities to support more vulnerable students	Throughout year	30,500			E0352
4 Additional SEN TA's to assist and support high needs students	Throughout year	30,810			A2165
5 Catering contingency to cover fluctuating numbers, Xmas etc - no charge made for lunch Tools and supplies for caretaker, funds to cover invoices for new phone systems at BW and BH, contracts contingency, Porch kitchen additions, Classroom tables BW, Office furniture contingency,	Throughout year	9,691			N0621, E0420, C0106,
Sub Total Planned Items		246,001			

Unplanned Balances included in your 2015/16 budget plan:

1 General Contingency (as per code A0003 in your 2015/16 budget plan)	50,170	3.58%
2 Balance not Identified (should come back to zero)	0	

F. Signatures

Headteacher:

Jacque Davies

Date:

12.5.15

Chair of Governors

Rod King

Date:

12.5.15

Notes to the above

Thresholds

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Permitted Uses of Balances:

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Reintegration Service

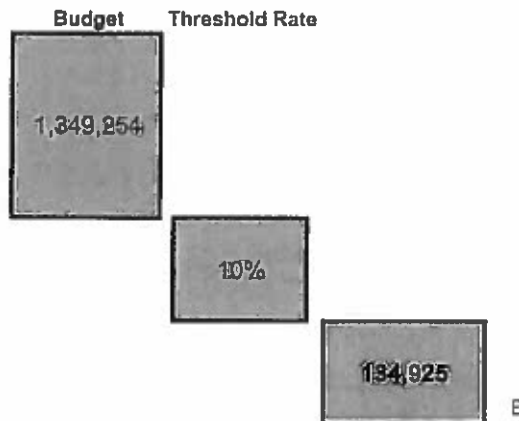
A. Closing Balances (revenue balance ONLY as per CFR, excludes Community Focused)

£

Surplus / (deficit) as at 31 March 2015	419,879	A
Surplus / (deficit) as at 31 March 2014	175,907	
Increase / (decrease) on previous Year	243,972	
Of the closing balance as at 31 March 2015, what amount was committed (this information is required for CFR purposes)		
Committed	26,000	
Uncommitted	393,879	

B. Upper Threshold for Excess Balance

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 Threshold rate is 8% Primary, 5% Secondary schools, or £20,000 whichever higher. 10% is a guideline for nursery schools, special schools and PRUs due to their funding being volatile



Upper Threshold B

C. Calculation of Relevant School Balance

Surplus / (deficit) as at 31 March 2015	419,879	= A
Less: PPG and PE & Sports Grant carried forward (Funds 08 & 13)	4,194	
Less: Any other ring fenced grant funds with permission to carry forward, and funds being held on behalf of a cluster or partnership agreement	ENTER AS A POSITIVE FIGURE	please provide breakdown & details:
Relevant Surplus Balance 31 March 2015 (for purpose of calculating excess balance)	415,686	C

D. Amount by which Balance exceeds Threshold - The Excess Balance

If C < B, then nil

280,760	D = C - B
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Where there is a figure in Box D, explain how/why the school has accumulated such a large surplus balance:

1. Due to uncertain income, a contingency of £120,000 was kept in order to ensure staffing costs could be met if student numbers were low. This was not the case in the financial year 14-15.
2. At various times of the year all units have taken over the agreed number of students and this has led to a greater income than was forecast. This particular year has been exceptional and unprecedented in terms of student numbers.
3. A staffing structure was budgetted for (14-15 budget) but was not actioned by governors and this led to a staffing underspend.

E. Use of Relevant Surplus Balance (C) - ONLY TO BE COMPLETED WHERE THERE IS A FIGURE IN BOX D

Description of Planned Use of Balances included in your 2015/16 budget plan (see below for permitted use):	Planned Implementation Date	Amount £ (ENTER AS POSITIVE FIGURE)	Which Strategic Document	Purchase Order Number	Account Code in budget Plan
1 Schools Forum agreed a single band which will significantly reduce the forecasted income	Apr-15	100,100			Z0003
2 Schools Forum significantly reduced the funding for the 'Outreach' section of the budget	Apr-15	80,000			Z0003
3 There remains a requirement for contingency due to uncertainty of student numbers	Apr-15	120,000			
4 Costs to safeguard premises (Riverside) Replacement of side door and mag lock at The Oaks	Sep-15	40,000			E12
5 Increase in staffing due to increments, maternity etc Addition of a caretaker to manage the sites Procurement of new kitchen equipment to include industry size cookers etc	Apr-15	48,710			E01.E25
Sub Total Planned Items		388,810			
Unplanned Balances included in your 2015/16 budget plan:					
1 General Contingency (as per code A0003 in your 2015/16 budget plan)		25,876	%	1.99%	
2 Balance not Identified (should come back to zero)		(0)			

F. Signatures


Headteacher:



Date:

13/5/15

Chair of Governors



Date:

13/05/15

Notes to the above

Thresholds

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