

2015/16 Analysis of Balances - Request for additional exception
Instruction for Completion of Form & Acceptance Protocol

- 1 Identify the reason why the school requires retention of additional funds, and calculate as accurately as possible the amount of funds required.

Some detailed examples of potentially valid reasons are attached, but this is not an exhaustive list. Please be as detailed as possible on your application form as to the reason you require additional funds to be retained, in order to facilitate the acceptance process.
- 2 Complete the request form, and attach clear explanation and appropriate supporting documentation and present to the Governing Body / Finance sub-committee for approval.

Applications cannot be considered without appropriate supporting documentation. If you have any doubts about what constitutes appropriate supporting documentation, please speak to your Finance Support Officer in the first instance.

Enclose the most recent budget plan revision that shows the projected surplus, use of balance, use of the additional exception sum, and the effect on balances in future years.
- 3 Ensure that the governors' discussions are clearly minuted, and that the form is signed and dated by both the headteacher and the Chair of Governors (or Chair of Finance Committee, if they have delegated authority to sign on behalf of the Governing Body).
- 4 Submit all the required documentation to the Local Authority, School's Finance Team, Finance Team Manager, before 26th February 2016.

Applications will be processed as soon as possible, but please allow time to reconsider spending plans should the application be unsuccessful. Note that in order to meet corporate deadlines school accounts are closed in mid March.
NB Requests received after 26th February 2016 cannot be considered.
- 5 For initial queries, please contact your Finance Support Officer in the first instance. If you have any queries about the overall process, please contact Martin Oswick, Finance Team Manager on (01603) 224245, or by e-mail at martin.oswick@norfolk.gov.uk.
- 6 All applying schools will be notified in writing of the decision before the end of the financial year i.e. 31 March 2015.
- 7 Agreed additional exception sums will show on the Analysis of Balances form that is issued to all schools after the year-end reconciliation process. Schools must then complete this form and submit to the LA within the set timeframe.

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List of Possible Valid Reasons

- 1 To retain a teacher during a temporary dip in pupil numbers. Please include staffing spreadsheets to substantiate the sum requested to be retained, and pupil forecaster tool that shows the temporary dip in numbers.
- 2 To maintain staffing during a temporary drop in funding. Please include staffing spreadsheets to substantiate the sum requested to be retained.
- 3 To delay a staffing adjustment that may otherwise have been required, thereby preventing an imminent redundancy situation. Please include staffing spreadsheets to substantiate the sums requested to be retained.
- 4 Contribution from revenue to capital project - This category is no longer available. Schools can make a contribution to Capital up to the value that has been spent from Capital in the current financial year. If schools intend to use revenue funding converted to capital but are unable to follow this process, then the Schools Finance Capital Team will require documented evidence of approval from the school's governing body which will need to include full costings and details of the project. This information must be received no later than 26th February 2016. Please contact Neil Leeds for further details on (01603) 222434
- 5 To fund a specific project in the summer term. Please attach full details of the project, including costings and quotes/estimates where applicable, and governors minutes where this was discussed and agreed.
- 6 Schools may submit a request that does not meet the above. However, if this option is chosen, details of the sums requested, and full details of the reasons, should also be submitted in order to facilitate the decision-making process.