

SCHOOLS AUDIT PILOT – Autumn term 2015

Name of SCHOOL

Date of Self-Assessment

Name of Chair of Governors

Signature

Name of Head Teacher

Signature

QUESTIONS	ANSWER (Yes/In Part/No)	COMMENTS, EVIDENCE (e.g. document reference) AND ANY PROPOSED ACTIONS. Please state the date (month/year) of the last review/report/action
A: Pupil Premium		
Please confirm a key contact at the school if we have any follow-up questions on this section:		
1. What are the arrangements around pupil premium at your school? <i>e.g. How do you spend your pupil premium money?</i>		
2. What have you done to self-assess your pupil premium arrangements?		
3. If you have completed a self-assessment, has it been externally evaluated or moderated?		
4. Has the school evaluated the impact of Pupil Premium?		
5. Are an annual budget on funding and breakdown presented and		

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approved by the Governing Body?		
6. Is this updated on the Schools website?		
7. What is the reporting frequency to the governing Body on performance?		
8. Is there an annual report on expenditure and performance? Is this available on the website?		
9. Have governors attended training on effective deployment of pupil premium grant and monitoring of expenditure?		
10. Have teachers received training on effective practise with respect to improving outcomes for premium eligible pupils?		
B: Governance		
Please confirm a key contact at the school if we have any follow-up questions on this section:		
11. Has the governing body assessed its governance and financial management skills and put actions in place to address any gaps?		
12. Do school governors receive training in governance and finance?		
13. Do all school governors effectively and robustly challenge senior school leaders and apply professional scepticism?		
14. Is there a governing body action plan?		

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15. Have the governors considered publication of governor's details and the Register of Interests?		
C: Safeguarding		
Please confirm a key contact at the school if we have any follow-up questions on this section:		
16. Does the school have the single central record of staff and other adults working in the school?		
17. Has a safeguarding audit been undertaken at the school?		
18. If yes, how are you comfortable that it is asking the right questions?		
19. If no, how are you comfortable that you are compliant with safeguarding legislation?		
20. Who is the Senior Designated Person for Child Protection and safeguarding in your school?		
21. Is there a designated teacher for Looked after Children? Who is it?		
22. Have at least the Head Teacher and one Governor undertaken safer recruitment training?		
23. Has the governing body designated a governor with responsibility for safeguarding and child protection?		
24. Has that governor received the necessary Level 3 training?		

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25. Does the school have a Child Protection Policy which ensures robust arrangements for child safety in the school? Is it on the school's website?		
26. Has an Annual safeguarding report been presented to the governing body by the Senior Designated Person?		
D: Anti-Fraud		
Please confirm a key contact at the school if we have any follow-up questions on this section:		
27. Is the school aware of the Council's corporate Anti-Fraud Team (CAFT), how to contact them and when to refer something to them?		
D (i) Anti-Fraud: whistleblowing, gifts and hospitality		
28. Does the school have a clear whistle blowing policy?		
29. Are all staff aware of the school's whistleblowing policy and to whom they should report concerns?		
30. Does the whistle blowing policy allow concerns to be raised outside of the school's management structure? (e.g. to the governors or the local authority)		
31. Is there a clear and well communicated policy with regard to the declaration of interests, gifts and hospitality?		
32. Is the declaration of interests, gifts and hospitality policy adhered to?		

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33. Are senior staff and governors cognisant of the way they should deal with declarations of interest, gifts and hospitalities?		
D (ii): Anti-Fraud: recruitment		
Please confirm a key contact at the school if we have any follow-up questions on this section:		
34. Does the school have a clear recruitment process that is followed in practice?		
35. Are all vacancies approved by the governing body?		
36. Does the school employ or use family members of the senior leadership team in any capacity, including for one off projects/support?		
37. Does the school require relations employed in the school to be detailed on application forms?		
38. Does the application form ask for details of right to work in the UK?		
39. Are identity documents and qualifications on application forms checked prior to recruitment?		
40. Are copies of relevant documents kept on file and are they legible and in colour?		
41. Are references checked prior to employment?		

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D (iii): Anti-Fraud: pay awards		
Please confirm a key contact at the school if we have any follow-up questions on this section:		
42. Does the School have an up to date Pay Policy?		
43. Is the Governing Body aware that all teachers' payments should be made in accordance with the latest School Teachers Pay and Conditions document (Sept 2015)?		
44. Has the Governing Body set a pay range within the appropriate Headteacher Group, for the Headteacher, Deputies and Assistants, in accordance with Section 2 of the Pay and Conditions document? Is this documented?		
45. Is the Governing Body aware that all non-teaching staff payments should be made in accordance with the pay policy?		
46. How does the Governing Body review all pay awards, increments, honorariums, bonuses, allowances and gratuities paid to staff?		
47. Is the total staffing cost to budget ratio/percentage monitored by the Governors (Finance Committee)? What Percentage of the budget do staffing costs currently represent?		
D (iv): Anti-Fraud: payroll (Ghost employees)		
Please confirm a key contact at the school if we have any follow-up questions on this section:		
48. Is access to payroll systems only granted to those who require it?		

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49. Are payroll functions suitably segregated?		
50. Is the process for leavers clear and is the process followed?		
51. Are monthly pay reports checked and signed by the head teacher?		
52. Who monitors budget variations in payroll spend? How are these reported and to whom?"		
D (v): Anti-Fraud: false claims for overtime/expenses Please confirm a key contact at the school if we have any follow-up questions on this section:		
53. Does the school have a clear, comprehensive and well communicated overtime and expenses policy setting out exactly what staff can claim for and in what circumstances?		
54. Do all expense claims include original supporting documentation?		
55. Are explanations sought where this is not the case?		
56. Is there a process whereby the head teacher's expenses are reviewed or authorised by governors?		
57. Is petty cash only used to reimburse expense claims supported by a receipt, rather than paid out in advance?		
58. In instances where advance payments are made, are unexpended		

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funds timely returned and is original documentation for expenditure reconciliation provided?		
59. If debit/credit cards are issued, are the statements received by the school and not just by the card holder?		
60. Are these statements monitored and reconciled to expense claims?		
D (vi): Anti-Fraud: procurement and contracts		
Please confirm a key contact at the school if we have any follow-up questions on this section:		
61. Are relevant contracts (as identified by the scheme of delegated authority) subject to a competitive tendering process?		
62. Are standard procurement templates/tools used for transparency and consistency?		
63. Is there segregation of duties in business case approval and the procurement process?		
64. Do authorisation limits require anything over a set limit to be signed off by the relevant governors committee?		
65. Can the same individual requisition and approve orders?		
66. Are the circumstances in which a single tender action may be considered clear?		

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67. Are all single tender actions considered by the governing body?		
68. Are any tender waivers agreed by the governing body?		
69. Is there a documented contract management process that is adhered to?		
D (vii): Anti-Fraud: theft and false accounting		
Please confirm a key contact at the school if we have any follow-up questions on this section:		
70. Are the results of fundraising activities publicised?		
71. Are records of cash received kept and are all funds including any 'unofficial' fund and petty cash reconciled to cheque stubs and bank accounts by someone other than the bursar?		
72. Are the school accounts reported and explained to the governing body?		
73. Are bank accounts reconciled with cheque stubs and queries followed up with the bank if necessary?		
74. Is there a clear process in place in order that any change requested to a supplier bank account is verified and the veracity of the request ensured?		