

**Schools Forum Agenda
Monday 12 July 2021**

Time: 9.00am
Place: Virtual (Zoom)
Chair: Jolyon Roberts
Vice Chair: Theresa Staunton

Invited:

Headteachers

Academy Representatives: Jolyon Roberts, Chris Andrew, Soumick Dey, Rob Veale, Roger Capham, Tyrone Myton, Neil Ferrigan, Rob Hitch
Nursery Schools: Jaqi Stephenson, Jane Charman
Primary Schools: Vivienne Esparon, Leonore Fernandes
Secondary Schools: Patrick Shields, Nathan Walters
Special Schools: Nicholas Dry, Lorraine Slee
PRUs: Jenny Adamson, Ian Walters

Governors

Nursery:

Primary Schools: Dave Harvey, Keran Currie
Secondary Schools:

Non Schools

Post 16: Kevin Standish
EY providers: Theresa Staunton, Christine Marchant
Southwark CofE Diocese: Josephine Copeland
Southwark RC Diocese: Linda O'Callaghan
Trade Union: Dave Winters, Joe Flynn
Cllr Majority: Group Rep: Joy Prince
Cllr Minority: Group Rep: Helen Redfern

Observers

Councillors: Alisa Flemming, Margaret Bird and Shafi Khan
ESFA: Murial Rant
General: Joe Harrison
LBC: Shelley Davies, Orlagh Guarnori, Kathy Roberts, Sarah Bailey, Kate Bingham

Clerk: Heather Beck/Geraldine Truss

VOTING GUIDANCE

School members - Green	Academy members - Yellow	Non- school members - Pink
<p>Only primary representatives (reps) can vote on primary school de-delegation</p> <p>Only Secondary school reps can vote on secondary school de-delegation</p>	<p>No voting on de-delegation</p> <p>All academies members can vote on any other Schools Forum business, including the consultation on the funding formula</p> <p style="text-align: center;"><u>Observers – Mauve cards</u></p>	<p>No voting on de-delegation</p> <p>Only PVI representatives can vote on the consultation on the funding formula</p> <p>All non- school members can vote on any other Schools Forum business</p>

All schools members can vote on any other Schools Forum business, including the consultation on the funding formula

Croydon Council website Link to Schools Forum:

<https://www.croydon.gov.uk/education/schools-new/statnotice-consult/croydon-schools-forum>

Item	Agenda items	Lead	Time
1.	Minutes and actions from last meeting (14 June Virtual meeting via Zoom)	Jolyon Roberts	9.00 – 9.05
2.	School Audit Programme a) Schools – Controls Test Programme 2021/22	David Phillips	9.05 – 9.15
3.	SRMA verbal update	Orlagh Guarnori	Start 9.15
4.	Dedicated Schools Grant (DSG) 2020/21 Outturn – paper report	Orlagh Guarnori	==
5.	Schemes for Financing Schools a) Appendix A – Schemes for Financing Schools	Orlagh Guarnori	==
6.	Split Site Schools proposed use of schools block reserve funds	Orlagh Guarnori	Finish 9.40
7.	Update from Schools Forum Work Groups (for information) a) Early Years b) Schools Block c) High Needs	Theresa Staunton Patrick Shields Nick Dry	9.40 – 9.50
8.	Any Other Business	All	9.50 – 9.55

Meeting dates for 2020/21, Monday from 9am – 12noon:

5 October 2020, 9 November 2020, 7 December 2020, 18 January 2021(rescheduled)
8 February 2021 (cancelled), 8 March 2021 (cancelled), 26 April 2021, 14 June 2021, 12 July 2021

Meeting dates for 2021/22, Monday from 9am – 12noon:

4 October 2021, 8 November 2021, 6 December 2021, 17 January 2022
7 March 2022, 13 June 2022, 11 July 2022

Item	4 October 2021	Lead
1.	Election of Chair and Vice Chair	Shelley Davies
2.	Chair and Vice Chair of All sub groups appointed by Schools Forum	Jolyon Roberts
3.	Terms of Reference of Schools Forum Work Groups	Work Group Chairs
4.	DSG Formula Factors 2022/23 draft	Orlagh Guarnori
5.	DSG Management Plan, Progress Report (Summer Term / Q2 2021/22)	Orlagh Guarnori
Item	8 November 2021	Lead
Item	6 December 2021	Lead
1.	DSG Management Plan, Progress Report (Q2 2021/22)	Orlagh Guarnori
Item	17 January 2022	Lead
1..	DSG Management Plan, Progress Report (Autumn Term / Q3 2021/22)	Orlagh Guarnori
Item	7 March 2022	Lead
1.	DSG Management Plan, Progress Report (Q3 2021/22)	Orlagh Guarnori
2.	Progress Report – Phase 1 and Phase 2 Expansion of the Locality SEND Support Project	Mark Southworth
3.	School Audit Programme	David Phillips

Item	13 June 2022	Lead
1.	Dedicated Schools Grant (DSG) Outturn report 2021/22 – paper report	Orlagh Guarnori
2.	2 year project - drop in numbers regarding birth-rate – report update?	Ashana Graham
Item	11 July 2022	Lead

STANDING ITEM FOR JAN – Croydon Recovery Plan

STANDING ITEM FOR OCT – Election of Chair and Vice Chair

STANDING ITEM FOR OCT – Chair and Vice Chair of All sub groups to be appointed by Schools Forum

STANDING ITEM FOR OCT - All sub groups to share revised Terms of Reference and confirm Chair/Vice Chair details

STANDING ITEM FOR OCT- Ashburton PFI

STANDING ITEM FOR JUNE – DSG Year-end Outturn report

SF Work Groups Meeting Dates

Early Years, Tuesday 10am – 12pm: Chair is Theresa Staunton, Vice Chair is Chris Marchant
29 September 2020; 3 November 2020; 1 December 2020; 12 January 2021; 23 February 2021;
25 May 2021; 6 July 2021

Meeting dates for 2021/22

28 September 2021, 2 November 2021, 30 November 2021, 11 January 2022, 22 February 2022,
24 May 2022, 5 July 2022

High Needs, Wednesday 10am – 12pm: Chair is Nicholas Dry, Vice Chair – Rob Veale
23 September 2020 (rescheduled); 18 November 2020; 6 January 2021; 3 March 2021 (additional
meeting), 19 May 2021; 23 June 2021 (rescheduled) 13 July 2021

Meeting dates for 2021/22

22 September 2021, 19 October 2021, 17 November 2021, 12 January 2022, 2 March 2022,
5 May 2022, 22 June 2022

Schools Block: Tuesday 10am – 12pm: Interim Chair is Patrick Shields, Vice Chair – Sharon
Oliver

15 September 2020; 13 October 2020; 17 November 2020; 9 February 2021; 11 May 2021;
29 June 2021

Meeting dates for 2021/22

14 September 2021, 12 October 2021, 23 November 2021, 8 February 2022, 11 May 2022,
28 June 2022

Schools Forum

Minutes of Meeting held on Monday 14 June 2021 Virtual (via Zoom)

Members Present: Nicholas Dry Rob Hitch
Patrick Shields Rob Veale
Dave Winters Lorraine Slee
Neil Ferrigan Roger Capham
Tyrone Myton Kevin Standish
Vivienne Esparon Keran Currie
Soumick Dey Dave Harvey
Josephine Copeland Leonore Fernandes
Cllr Joy Prince Cllr Helen Redfern

Observers Present: Shelley Davies Kate Bingham
Cllr Margaret Bird Cllr Alisa Flemming
Orlagh Guarnori Denise Bushay
Ashana Graham Andrew Rendle
Emma Watson

Apologies: Chris Andrew, Kathy Roberts, Jenny Adamson,
Nathan Walters, Debbie Jones

Chair: Jolyon Roberts
Vice Chair: Theresa Staunton

Clerk: Heather Beck/Geraldine Truss

	Declaration of Interest There were none.	
	The Chair welcomed everyone to the meeting. Observers at the meeting were asked introduce themselves and were: <ul style="list-style-type: none">- Emma Watson, School Business Manager, Winterbourne Junior Girls attended as an observer;- Andrew Rendle, School governor at St. Nicholas The meeting was quorate.	
1:	Minutes and actions from the last meeting (26 April Virtual Meeting – Zoom) <u>Matters arising from the minutes</u> Page 2, Action 1 - Beneficiaries of Ashburton PFI – Ashburton Services Limited, Annual Report & Financial Statements 31 March 2020 documents are attached at the end of School Forum papers.	

Page 2, Action 1 & Page 20, Action 1 - Beneficiaries of Ashburton PFI – Ashburton Services Limited.

Jolyon Roberts (JR) informed Forum that in PRE MEET the above actions were discussed and it was felt this had been taken as far as Schools Forum were able to. Resources and forensic accountancy would need to be allocated and this is beyond the officers' remit.

Kate Bingham said all the information presented to Schools Forum was in the public domain and that private companies are not subject to Freedom of Information (FOI) requests. She reiterated that there are no resources to take this further and ultimately the LA has signed a PFI contract and due diligence would have been done at that point. This is not the only PFI contract the LA has and therefore it cannot be viewed in isolation. All PFIs will have to be reviewed, in relation to financial position of the council.

Dave Harvey (DH) felt that this was a disappointing response and that a decision has to be made at the next Schools Forum meeting as £1½m would have to be found. He said if resources cannot be found an alternative will need to be looked at. He asked if the contract could be investigated to seek to separate the building contract from the ongoing services expenses as other PFIs have split those payments. It would be appropriate to invite a representative from Oasis to the October Schools Forum meeting.

JR said he received several letters on this subject and was aware that feelings were running high. This is an agenda item for the October Schools Forum where we discuss the formula. He did not think the investigation could be taken further unless Forum allocated money. He asked DH if he wanted to push to vote to allocate funds to investigate this further.

DH said he did not want to push this further and did not think it would be money well spent. Given the time frame he did want to ask for a representative from Oasis to attend Forum and explain the situation.

Invite Louise Lee from Oasis to attend Schools Forum in October 2021 **ACTION**

Clerk

Dave Winters said as this involves LA staff, Forum and Oasis it would not be unreasonable for Oasis to contribute financially for this problem to be fully resolved. This is happening in other parts of the UK, so a contribution from Oasis to help with this investigation is a reasonable ask, if not they will have to accept the consequences.

Page 7, Agenda Item 4 Dedicated Schools Grant , A4: update on action - Sharing of SEN Data as a paper with School Forum members

	<p>Shelley Davies informed Forum that the SEND Board Performance Dashboard contains a lot of data and would be happy to share this with Forum.</p> <p>Nick Dry said it was discussed at High Needs meeting and there is a lot of information on the data dashboard which is relevant. Jonathan Driscoll is the officer and he updates it.</p> <p>SEND Board Performance Dashboard to be brought as an appendix to next Schools Forum – pick up in PRE MEET ACTION</p> <p>Paper on the average cost of maintained places verses the average cost of the independent school places to be presented to Schools Forum ACTION.</p> <p>Page 19, Audit Framework - JR and Shelley Davies to discuss further ACTION</p> <p>All other actions have been completed and the minutes approved.</p>	<p>Shelley Davies</p> <p>Shelley Davies/ Orlagh Guarnori</p> <p>Shelley Davies/ Jolyon Roberts</p>
2:	<p>Proposed use of schools block reserve funds</p> <p>Shelley Davies (SD) and Orlagh Guarnori (OG) presented this paper</p> <p>OG said Virgo Fidelis school is due to close on 31 August 2021 and the APT funding runs to that date. The LA proposes to fund the transferring of Year 10 pupils on block to St Mary's R.C. High School to complete their exams.</p> <p>The DSG 2020/21 outturn will be presented in a separate paper in detail for the July 2021 meeting. The Schools Block element of the DSG has a grant underspend as a result of funding that was provided to the LA, in respect of a school that had converted mid-year but has been fully funded by the ESFA.</p> <p>The proposal is to fund the transferring pupils at the current rate of £5465.00 per pupil for 2021/22, rate paid to St Mary's for the period September 2021 to March 2022. Following this these pupils will be on the St Mary's census and then funded through the APT tool. The actual number of pupils moving over is uncertain at this point in time but it is estimated to cost around £70k.</p> <p>Jolyon Roberts said this was discussed in PRE MEET and it was felt that it was a moral decision for the pupils to continue as a group until end of their school year. The view at PRE MEET was to support this.</p> <p>Patrick Shields said he would abstain from the vote as it is his school the pupils were moving to. He did say that they were trying to ensure that the girls stay together as a unit until Year 11. He said they may take a hit on their published results as the pupil's exam results will be included.</p>	

Shelley Davies said the LA had kept St Andrews' open so the Year 10 pupils could finish their GCSE year. She wanted to say a formal thank you to Patrick Shields and St Mary's for taking the pupils as a year group. It would not be in the pupils' best interest to be split up and impact their education.

Q1: Jolyon Roberts asked if the figure per pupil arrived at was the figure Virgo received before that;

A1: OG said yes it was and is as per the ISB for 2021/22 at £5465.00;

Q2: Neil Ferrigan asked if the pupils incurred extra travelling costs;

A2: SD said the pupils were already in an Annex at St Mary's. There is also parental choice to be taken into account. All the pupils are offered this as an alternative, parents can also make a decision to do an in-year application to schools in other LA.

Dave Winters said he was present in the Schools Block meeting where this was thoroughly discussed. He said Patrick Shields did not take part in the discussion. Schools Block were unanimous in their support for this proposal.

Dave Harvey said this was obviously a moral case and that he believed the recommendation in the paper was correct. He raised the fact that he was not aware the LA had financially lost out in respect of St Andrew's and hoped the LA would not lose out as a result of the closure of Virgo Fidelis. He believed that if a school goes into deficit that deficit falls back onto the LA rather than on the governors of that school. He said it irks him that the governors at that school are not closing it but are keeping it open as a result of an injection of funding from Opus Dei.

The building is not owned by the LA or the Diocese but sits with the Trustees. The LAs focus has to be on the pupils to allow them to finish their GCSE curriculum. She could not make a comment on the decision making on the use of the building as it does not belong to LA.

Jolyon Roberts said given that the LA has agreed to pick up the deficit it was beyond the remit of Schools Forum. It will be a matter for those faiths groups to run that school in future. Virgo Fidelis is being closed as a maintained school.

Cllr Prince said that the LA has lost millions on St Andrews and Virgo Fidelis

Jolyon Roberts said this is why the work of the SRMA is important. We have not received the PPG figures for next year yet but it is clearly a tougher settlement going forward - with 10 schools in the LA in deficit. If there is an existing deficit and the school becomes an academy, then the academy starts with a clean slate and the deficit falls to the LA. It does not take long for a secondary school to drop into deficit. We are doing all we can for those 10 schools until they get a visit from the SRMA.

OG said the SRMA are visiting 5 schools at the moment and the LA have engaged with the ESFA to partake in the programme for 2021/2022 and will be offered how many schools the LA can have for the SRMA visit. There is funding from Schools Block, which Schools Forum has agreed to roll forward into reserves, that could be used if all schools are not brought into scope as part of the ESFA programme.

Patrick Shields said the independent school opening on the Virgo Fidelis site is not a catholic school and that it does not fall under the remit of the Bishop.

Dave Harvey said the school moving onto the site is the Cedars School and added that the pupils going into the school in September are not going into a building in poor repair. He felt that Opus Dei clearly have a lot of money.

Jolyon Roberts said the site was in poor condition. The risk to the LA from school deficits only applies to maintained schools and there are not many maintained secondary schools left in Croydon. Academies have to manage their own deficits. The net effect is replace faith schools with 2 co-ed academies.

Cllr Prince said it was a minor crumb of comfort. The bottom line is a huge hole in LAs budget.

Q3: Jolyon Roberts asked if the 5 schools receiving visits from the SRMA were all primary schools;

A3: OG said they were primary and nursery schools.

Those in Favour = 10
Abstention = 1

Jolyon Roberts wished to record that Schools Forum applauded St Mary's for supporting the young pupils and hoped the arrangements worked out well for all concerned

3: Interim Key Stage 4 educational provision for in-year admissions

Ashana Graham (AG) presented this paper

This paper is for information only and relates to this academic year and the provision is for young people in Year 11 who are new to the borough and quite often new to the country and do not speak English.

In previous years Schools Forum agreed funding from DSG Schools Block to fund provision for Unaccompanied Asylum Seeker (UAS) and other Key Stage 4 young people without a school place.

Table 1 gives an overview of funding from 2015 - 2021.

This applies to Year 11 students as Year 10 students who come into the borough are redirected to apply for mainstream schools through Admissions.

Table 2 gives an overview of the number of UAS CLA who have come to Croydon since 2011. However, the last academic year 2018/19 there was an increase that came from the termination of the Home Office National transfer scheme. The CLA who presented in any year were no longer being dispersed to other LAs which meant there was increase in demand for services in Croydon.

Q1: Jolyon Roberts asked if Croydon was aware they could lobby the Home Office in the same way as Kent has recently done;

A1: AG said yes and that the LA was included in the setting up of the transfer scheme and that Croydon had a voice in that.

AG said other LAs do place their UAS with Croydon foster carers therefore the LA has responsibility for their educational provision. The cost for the providers varies as some young people present with challenging behaviour and need more support.

AG said the biggest change to what was previously is a commissioning framework. The LA underwent a competitive process and that the old framework had come to an end although, it was extended by a year. There are now six providers on board, some of which are new. The 'Supreme Education' and 'SV Academy' providers are new to Croydon. Three providers have successfully got the contracts to deliver AP for UAS. AG said the current learners are doing well and that exams are under way. There have been some results received but not enough to produce data at the moment. On average both colleges aim for 95/98% pass rate which is achieved in the main functional skills in maths, English and science. Some also will take history and IT. Occasionally we have one or two GCSE entry's in Maths too. She informed Forum that some money from the Block has gone to supporting the role of Attendance Improvement Officer which has been extremely beneficial.

Q2: Cllr Redfern directed her question to AG and asked when another LA places a young person in Croydon if Croydon then funds the cost of educating the young person? Alternatively is the case that if the child is Croydon it is up to the LA to find a place and the responsible LA would fund it?

A2: AG agreed with Cllr Redfern and said that wherever the child is resident, that LA has responsibility for a school place. Croydon will also place CLA in other LAs who have the responsibility to ensure there are adequate school places available for that child.

Neil Ferrigan suggested a chart would be helpful on the age and number of UAS and asked if there were vacancies in schools to invite more UAS to fill some of the places;

AG said the majority of young people will be between Year 9 - Year 11. She said commissioned places in this project are for Year 11 only, if the pupil is younger they get placed into a mainstream school.

Jolyon Roberts said several years ago secondary schools had found it a problem having a flow of new students for whom English was not their first language as this affected school exam results and this was why this provision was put in place.

Q3: Neil Ferrigan said with the effect of Covid-19 lifting and with summer coming, migration from across the channel may rise, so in terms of invitation to other boroughs, it is contentious to say that Croydon with its surplus places have the ability to invite other LAs to take responsibility;

A3: AG responded that if a young person is resident in Croydon it is difficult to plan for. Croydon has no control over other LAs placing children in the borough.

Cllr Fleming said it was important for Schools Forum to bear in mind that further restrictions will come in the next 4 weeks and the issue of what it will look like when those restrictions are lifted and the ports are open. Croydon has had discussions with Kent about what was happening there. The difference of why Kent has been able to take that action directly, at this moment in terms of the judicial review, is linked to their location versus ours. We expect the numbers to increase significantly for Croydon when young people are able to get back onto trains and come into Croydon. Can Forum bear this in mind in terms of places moving forward?

Jolyon Roberts said that previously places were paid for whether they were used or not. Now there is a panel of providers who are paid per place to accommodate the students when they arrive.

Shelley Davies pointed out that the LA are corporate parents to UAS and that there is a responsibility for their education. We need to recognise the challenges and the journey the children have taken and we do take this responsibility seriously. As a Forum this discussion is about approving the funding but is also the fact that as a LA we take the corporate responsibility really seriously and make decisions as we would for our own children.

AG said that to drive down the costs to the LA she runs a voluntary 'mini-competition' process. Block bookings are proposed and go out to the providers who, if they are guaranteed 15 pupils in a block, may then drop their individual price per pupil. An approved Provider Panel (APP) has been established which has a four year agreement, operational between 2020 and 2024.

Table 5 details the business case for Key Stage 4 commissioning. The total cost requested from the 2017-18 DSG Schools Block of £625k.

	<p>Q4: Jolyon Roberts asked if there was underspend this year and whether it could be used next year - bearing in mind there might be a higher number of applicants next year should lockdown ease. He asked if this was accepted and were there were any objections. No objections from Forum were received;</p> <p>A4: Orlagh Guarnori said yes, and that if there was underspend it would roll into the budget for next year.</p> <p>Any underspend to roll forward into next year's budget for the same project ACTION</p> <p>Those in favour = 10 Abstention = 0</p>	Orlagh Guarnori
4:	<p>School Place Planning & Admissions</p> <p>a) Overview of primary school vacancies in Croydon b) Overview of secondary school vacancies in Croydon c) Summary page</p> <p>Denise Bushay (DB) presented this paper</p> <p>DB pointed out that one of the statutory functions of the LA is to ensure that there are sufficient school places for pupils in the borough. The LA also has a duty to provide parenteral choice, diversity in education and fair access to education.</p> <p>DB has provided a comprehensive report along with appendices relating to the capacity, surplus, birth trends and have also included a summary of the school admissions process. The report also provides an update on the latest position with projected demands, proposals being put forward to reduce the number of primary school places in the areas of surplus.</p> <p>The report identifies and explains the issues of surplus places which is of concern to schools and the LA has had discussions with schools and know this is a pressing issue.</p> <p>The main report provides contextual and historical information. The appendices gave school data and an overview of vacancies.</p> <p>Appendix 4a relates to primary school vacancies.</p> <p>Appendix 4b relates to secondary school vacancies.</p> <p>DB said it is important to stress that this data is based on the Spring 2021 school census though the current position may be different now.</p> <p>DS said she would outline what the LA will be doing to manage surplus places across schools, it must be noted that the LA must allow for surplus places to be available for inward migration or changes in demand. It is fair to say it is generally agreed that where</p>	

there is a higher than necessary level of surplus places financial resources are not being used in the most efficient or effective way to improve the quality of education and in the current of financial climate local and central government are ever more committed to improving efficiencies. Surplus places cost money, schools with surplus places have to run and maintain buildings which are bigger than needed. For individual schools the easiest and most immediate action has generally been to reduce the schools published admission number. The LA have been working with a number of schools and have 100% success rate in reducing those schools admission numbers where there are a higher level of surplus places. Discussions are continuing with other schools about options to manage the surplus places. In Croydon our planning assumption is a target no more that 10% surplus places borough wide. However, it can also be true that there can be a shortage of places at popular schools and a surplus of places at less popular schools.

DB informed Forum that Croydon's strategy to manage surplus school places is multi-faceted; finances are driven by the numbers on roll and a reduction in pupils will lead directly to a drop in income for the affected schools. This reduces the amount of money available to pay staff, purchase resources and meet pupils' needs. It is clear the result of surplus places can be far reaching and will have the impact on the school not able to provide education in an efficient and effective way.

The current strategy to reduce surplus places is variation in the school admission numbers which is the key strategy so far. Where demand for school places drops the only way to remove surplus is to reduce the supply of school places. This can be done in a number of ways which will be explored after July when we receive our next set of pupil projections from the GLA (Greater London Authority).

The main strategy is to reduce the published admission number at the point of entry, this needs to be done in advance of applications being made. Pupil Admission Numbers (PAN) are set 18 months in advance so a level of forward planning is required if a school is thinking of reducing their PAN numbers. Admission arrangements are determined at least 2 years in advance.

School organisational changes is another option where there are a high number of surplus places combined with standards or financial or building issues and there is no sign of increased in demand. It may be necessary to look at school organisation changes e.g. 2 or more schools amalgamating and the amalgamating of infant and junior school. These options may provide efficiencies.

The LA have also been informed that a higher housing target for Croydon will be in place and this might increase future forecast due to pupil yield from the housing development.

As well as continuing to refresh the forecast with the latest data the LA will engage with schools, multi academy trusts, the diocese as well

as other stake holders to find the most appropriate solution to deal with surplus places within the school or planning area. We will work with our finance colleagues, encourage and support schools to review financial and staffing position, consider restructure or reorganising if needed. Where a longer term solution is required the proposal could be permanent structural solution such as amalgamation. Closing of a school is the least preferred and last option.

The current position for Croydon in terms of primary surplus places is a pressing issue. There are 11.7% surplus places between Reception and Year 6, 12.1% surplus places in Reception. In secondary schools there is a surplus of 9.3% between Years 7 to 11 and 11.9% in Year 7. We are looking at all possible flexibilities to assist schools manage the surplus places.

Jolyon Roberts said this is a very through paper which touches on a number of issues. He pointed out that the highlighting in the paper was done by him. The councillors present at Forum today should be aware that this is the number one problem affecting primary schools and secondary schools in the borough. There are not enough children in the borough to fill the places available and this is having a massive impact on the financial situation and school deficits. The per pupil figure allocated from the DfE is not as high as we would like it to be either. There have been a number of issues that may be contributing :

- a) The reported 700,000 Europeans who lived in London who may or may not have returned to their home countries, some of them would have had children;
- b) The 'flight to the counties' now that people can work from home – especially just prior to secondary school transfer;
- c) Free schools. We have had free schools placed in areas where retrospectively they do not need to be.

Jolyon Roberts said he notes that the closure of schools in this LA is considered a last resort and commends this but he also knows that other LAs are brutal with regard to falling pupil numbers and the closure of schools and they will act on parental choice quickly and schools are closed down. The flip side is for parents of children presently in Year 5 & Year 6 is that when it comes to the point of secondary school transfer more families should now receive their first preference.

Jolyon Roberts said the idea that we might subsidise some places or set up the opposite of a growth fund – a diminishing school fund – was discussed in previous meetings and there was no appetite for this. He said schools live or die by their numbers and we would not necessarily support those schools with that kind of fund. It is good to have this paper come annually to Schools Forum and the per pupil places are the main source of our funding.

Kate Bingham clarified that the any diminishing school fund can only be requested for those schools who are good or outstanding and where surplus pupil places will be required again in three years' time. It is not for propping up schools with financial stability problems, it is part of place planning and resilience.

Tyrone Myton wanted to thank Denise Bushay for the paper. He pointed out that the 11.9% undersubscription rate at secondary schools does not take into account schools who have reduced their roll and so that figure will certainly be higher.

Q1: Tyron Myton asked will Virgo Fidelis be staying open as he is confused with whether a new school or different type of school is going on the site of Virgo Fidelis.

A1: Shelley Davies said Virgo Fidelis is closing which was approved by Cabinet. The school that is opening on the Virgo Fidelis site is not a LA school but an independent school and does not fall under the remit of the LA. The school moving into Virgo Fidelis already has schools in the borough and they are moving the placement from one place of the borough to another. The LA does not own the building, it is owned by the Virgo Fidelis Trustees. There is a convent on this site and they have the responsibility of the ownership of the building. It is not a new free school opening but a school moving location.

Q2: Jolyon Roberts asked if the students moving to this site were secondary aged pupils?

A2: Shelley Davies said it was her understanding that they would all be secondary aged pupils. A joint decision along with Cabinet was made around the closure of Virgo Fidelis for 3 reasons:

- Pupil numbers;
- Increasing deficit;
- Concerns around the building. If Virgo had not closed the deficit would have got bigger. Those three things had to be taken into consideration. The LA does not own the land or building and are not part of the decision making as to what happens to the site in the future.

Tyrone Myton said Shelley Davies answer had clarified his question a little. He said there is a real concern about the number of spaces available, particularly at secondary school and there are only three RI secondary schools in Croydon - one of which is Shirley High

Jolyon Roberts said the move to the school access module where all schools can see their waiting list is particularly welcome. This is the first time in 30 years that schools can see their own waiting list. He thanked officers for this as it is a major improvement.

Cllr Fleming said she felt it important say thank you to DB for all the work done around this area and to acknowledge Jolyon Roberts earlier point of the frustration around future planning for schools in terms of school places. It has been something for us as a LA that has

been a frustration for some time. We have highlighted this particularly around the free schools agenda and the fact we are not able to decide where and when those schools are delivered. We are involved in some of those discussions, particularly in the north of the borough.

Jolyon Roberts said this was a ticking time bomb and that the kind of measures outlined in DB's paper around helping schools understand the need for restructures etc. all need to happen with alacrity. It takes no time for deficit to start racking up and particular for the maintained schools, if they were to be wound up any deficit would fall to the LA. We do not want this to happen so prompt action is important.

Cllr Fleming added that for Croydon there is a commitment and desire to work with schools, to hold onto assets but keep schools open, particularly playgrounds etc. where possible. Virgo is slightly different as we don't own that asset. It is losing those sites and then not being able to get them back, especially if we then see a surge, where do we go from there. It is a catch 22. This is on the LA radar and at the front of our thoughts in terms of closing and opening schools.

Keran Currie said thank you to DB for the paper and the data. She looked at the data with two hats on; one as a school governor and the other in relation in to SEND support and the direction the LA agreed to take. We do have large school buildings and during Covid-19 we noted that schools had to disperse classes and groups of pupils into all corners of the building as space was needed. In relation to DB comment about schools and merging schools and not having too much space, she would really like us to consider the attention to the spaces needed moving forward, for contingencies such as Covid-19 and pandemics but also in relation to SEND support. We are asking our schools to maintain children who have complex needs, in many cases who need additional provision. Many of the schools she has worked with set up whole separate classrooms for groups of children and this would not be possible if they did not maintain gaps and use our school buildings properly. Whilst we are not building schools for purpose at the moment, she asks that this be considered for schools who do have gaps. The fact we are now under pressure to keep large groups of children with complex and life limiting needs, who needs huge amount of resources, not just personnel but actually physical resources in order to maintain, support and educate them and to ensure they are happy and thrive on a daily basis.

Jolyon Roberts thanked Keran Currie for these important points. He said that this situation does also offer some opportunities having these extra classes, in terms of more space per pupil, that is if you can afford to keep the heating and lighting on.

Patrick Shields said thank you to DB for the paper which was also presented to Schools Block prior to this. As he mentioned then and from the figures Tyrone Myton spoke about - the figures presented, if you take the current vacancy rate in Year 7 and add the existing reduction in PAN from capacity, the vacancy rate is 19.8% as

opposed to 11.9% and looking at the equivalent in primary sector it looks like primary have reduced by 240 places in Year 6 but 420 in Reception. The identified 420 reduction in Reception this year is going to compound the 19.8% in six years' time. To return to Cllr Flemings question whether on whether it should be 2/3 years, he thinks it should be 10 years in the planning? The reality is from one point of view as to what could be an at risk school you could close either the three smallest schools or the one biggest and more schools in order just to get to the 10%, the situation is only going to get worse. We have already had 2 secondary school closures in very recent history so we can see it may well happen again. We need to have some honest, frank and open discussions as to how we get ahead of the curve. We know that as soon as schools fall under roll they pick up the FAP children, the permanently excluded children, standards go down and the provision for all the students in that school suffer. This puts a cost back into the LA in terms of placing in terms of Fair Access, alternative provision etc. This has been talked about since he arrived in Croydon 7 years ago and the situation only seems to be getting worse. We need to address it with urgency and the long term plan should be more than 2/3 years as there are big challenges facing the LA in order to make best uses of the choices we have.

Jolyon Roberts said that with hindsight it would have been good if those two secondary schools had closed and not been replaced. However, these things take time in planning. In fact St Andrews and Virgo had simply been replaced with two other schools. We are being quoted between 11% and 19% of vacancies this is an impending major problem.

Shelley Davies wished to add a couple of points. She agreed with Jolyon Roberts but pointed out that the two schools concerned have been replaced with two BIGGER schools not two schools of the same size which is important to note.

Shelley Davies said DB and her team have done an amazing piece of work. We have a strong partnership and are a LA that is made up of a range of schools. We don't want to lose the facility for parents to express a school preference and for our parents to have the choice of a range of schools across the LA. We are a large LA, we know the impact of inward migration can have a huge impact whether that be in the north or south of the borough. Forum members have raised and also we as a LA have raised points. We want to protect schools places and make sure there is that choice across the borough but we also do not want there to be a situation where we close schools, this has to be a last option and we don't want to impact on children's education. First and foremost this is our role as an LA to provide good education. We have work to do which we will do through our strong partnership with all our schools in order to plan for this.

Jolyon Roberts said he agreed with this. The funding threat is there and he could not see this changing any time in the near future. When the new applications come in for Reception places next year, it may

be even worse as we have not seen the impact of European workers going home or the flight to the counties where people feel they would have a better standard of life outside London.

Q3: Tyrone Myton asked when and how do we continue this conversation with regard to school place planning;

A3: Jolyon Roberts said we do not as this is beyond our remit. We simply have to deal with the funding we are allocated and the allocation is based on school places. This shows what we already knew that there are not enough places. He asked what council committees this paper would be shared with;

A4: Shelley Davies said this goes to all committees, Cabinet and full council. It will go through scrutiny and overview. In answer Tyrone Myton's question, we are doing further work as an LA in relation to school place planning. She has to give him the assurance that we will continue the momentum as a LA and the work that DB and her team are doing on developing. Schools Forum will not be involved in this but we have to show that by sharing this paper we are taking this seriously and are really clear what is happening across the borough with the data we have and what actions we are taking.

Shelley Davies said if any schools wanted to have individual conversations with DB they should do so and in fact she is aware that this is already happening. She said she will put something in the newsletter to highlight we have shared this with all schools, to give an overview of the situation and have individual conversations with the schools as well as developing that overarching strategy.

Jolyon Roberts said that any councillors who have not read this paper really should as it is a telling snap shot of where we are. Academies are not protected from this either - they are suffering the same as others. It is a problem for all range of schools, faith schools maintained and academies. He asked that Councillors Prince, Redfern and Fleming share this information as widely as possible as it shows the situation with Croydon schools at the moment. People will get a view of where we are and if they want to see on a ward level basis the appendices give a view on this. There are one or two schools with alarming vacancies - 169/180 pupils down.

<p>5:</p>	<p>Update from Schools Forum Work Groups (for information)</p> <p><u>Early Years Working Party (Theresa Staunton)</u></p> <p>Early Years met on 25/5/2021. There was no further comment except to say that the distribution of maintained nursery provision has been agreed.</p> <p><u>Schools Block Working Party (Patrick Shields)</u></p> <p>All items have been covered in today's meeting.</p> <p><u>High Needs Working Party (Nick Dry)</u></p> <p>Nick Dry wished to raise the transparency funding for special schools. It has been occasionally raised at the Schools Forum due to the increase of top up some schools have been granted in the past. It is becoming more imminently necessary because of a few things that have happened this year. There has been no resolution of the process by which special schools are funded. A process was started but did not conclude which meant that the way we were previously funded has been carried over to this year. The other issue as a special school is understanding or getting accurate figures of funding for the forthcoming year. Because we were not run on a commissioned places basis, that decision has been made by the SEN department and it has to be put into a funding document by the education finance. We still do not have accurate figures on our finance for this year and this makes budget setting difficult. In the past we got a funding paper for individual schools and this document was transparent across schools. We have not had anything like this in the last couple of years.</p> <p>Transparency is important, decisions are being made particularly as we have academies on line which some of us are concerned about. The problem is we see things happening with admissions and places and have anecdotal evidence that things don't look right but nothing to fall back on to see how each school funding is broken down.</p> <p>Overall he has asked finance to find a way to present this information with the level of detail similar to what Schools Forum gets for mainstream schools. He has sat on Schools Forum for several years and feels special schools are not getting anywhere near the level of detail or oversight of the way that special needs funding is made up compared with mainstream . There needs to be more transparency over this. We do need to resolve the way we are funded ready for the next financial year as we cannot keep kicking this can down the line,</p> <p>Jolyon Roberts said he understood as part of the High Needs review the factors about which school got which money and the reasoning behind that were being examined?</p>	
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Nick Dry said Orlagh Guarnori from finance has agreed to produce a document which will show it in more transparency. We have not had the information to scrutinise yet.

Q1: Jolyon Roberts said there are factors for special schools in the same way that there are for those in Schools Block and asked Orlagh Guarnori if there were factors;

A1: Orlagh Guarnori said no there is not, it is not as clear cut as it is in Schools Block. In Schools Block there is the national funding formula the APT which drives how schools are funded and is not the same for the High Needs. We did request a one year roll on for the special schools on how they were funded because the exercise undertaken last year, in order to try to bench mark all the pupils, did not give us enough information to produce the transparency needed to be able to come up with the formula correctly. We have done a lot of work on the data since then and have pushed forward a huge amount.

Orlagh Guarnori informed Forum that there is a special schools head teachers meeting planned on Monday 5 July 2021 at 2pm. At that meeting officers will present the special schools proposal as to how they will be funded going forward. The clarity will be presented how we got to the ratings and banding and where we feel each of the schools will sit within that. Thereafter it will go to High Needs Working group and then onto Schools Forum. Officers have been working and pushing on with the work but just needed more time to make sure it was right and we had looked at all the modelling for it.

Q2: Jolyon Roberts asked who had done this large amount of work;

A2: Orlagh Guarnori said it was Kathy Roberts, Judith Lennon, herself and other members of the High Needs team.

Jolyon Roberts said thanked Orlagh Guarnori for this and said he was pleased there would be more clarity around the factors and the thinking behind this going forward. He said Nick Dry may have the answers he seeks at the special head teachers meeting on 5 July 2021.

Nick Dry said this was an incredibly complex problem and there are no national guidelines around the way LAs are funding their special provisions - which means one authority could be doing it differently from another, unlike mainstream school funding where there are clear guidelines. The main thing is that there is a transparent formula which is agreed for the next financial year and a way of presenting this information to each school so they can prepare their budget for scrutiny across the board.

Q3: Jolyon Roberts asked if he could be invited to the special schools meeting on 5 July 2021;

A3: Orlagh Guarnori said she would make a note to invite him.

10:	<p>Any Other Business</p> <p>Dave Winters said the last report by Nick Dry is typical of the work done by the Forum, the challenges the working parties pose and the scrutiny they exercise. There were 200 pages to read for this meeting and these pages reflect the input, the seriousness with which Forum members take their responsibilities, not only in the working groups but on each Forum. The challenges, the comments, the request for information which is forthcoming during Forum, he thinks that we need to appreciate the contribution that the Forum does make to the education of children and students in the borough.</p> <p>Andrew Rendle wanted to comment on the non-used places in schools. He said it seems to him that one of the answers would be to expand the ELP provision in Croydon across all SEND needs.</p>	
	<p>Next meeting 12 July 2021</p>	

Abbreviations used within the minutes

AVA	Addington Valley Academy
AWPU	Average weighted pupil unit
BWH	Bernard Weatherill House
CALAT	Croydon Adult Learning and Training
CHTA	Croydon Headteachers Association
DfE	Department for Education
DSG	Dedicated Schools Grant
EAL	English as an additional language
ESOL	English as a second/or other language
ESFA	Education Skills Funding Agency
EHCP	Education, Health and Care Plan
E-PEP	Electronic Personal Education Plan
ESG	Education Services Grant
EY	Early Years
FSM	Free School Meals
GLA	Greater London Authority
GPAC	General Purpose Audit Committee
IDACI	Income Deprivation Affecting Children Index
IMD	Index of Multiple Deprivation
INM	Independent/non-maintained
KPI	Key Performance Indicator
LA	Local Authority
CLA	Child Looked After
LLW	London Living Wage
LPA	Low Prior Attainment
MAT	Multi-Academy Trust
MFG	Minimum Funding Guarantee
MNS	Maintained Nursery Schools
MHCLG	Ministry of Housing, Communities and Local Government
NEOST	National Employers Organisation for School Teachers
NEET	Not in Education, Employment or Training
NFF	National Funding Formula
PAN	Planned Admission Number
PEP	Personal Education Plan
PFI	Private Finance Initiative
PPG	Pupil Premium Grant
PPL	Private Public Limited, Consultancy Firm
PVI	Private, voluntary sector and independent providers
SLA	Service Level Agreement
SRMA	School Resource Management Adviser
STPCD	School Teachers Pay and Conditions Document
STRB	School Teachers Review Board
ToR	Terms of Reference
TPA	Teacher Professional Association
UAS	Unaccompanied Asylum Seeker
UPN	Unique Pupil Number

Academies and their Trusts

Type	School	Trust	Single Trust or MAT
Primary			
Academy	Aerodrome Primary Academy	REACH2	MAT
Academy	Applegarth Academy	STEP Academy Trust	MAT
Academy	Ark Oval Primary Academy	ARK	MAT
Academy	Atwood Primary Academy	Atwood Primary Academy	Single
Academy	Beulah Infant School	Pegasus Academy Trust	MAT
Academy	Broadmead Primary Academy	The Pioneer Academy	MAT
Academy	Castle Hill Academy	The Platonos Trust	MAT
Academy	Chestnut Park Primary School	GLF Schools	MAT
Academy	Chipstead Valley Primary School	PACE Academy Trust	MAT
Academy	Courtwood Primary School	The Collegiate Trust	MAT
Academy	Cypress Primary School	Pegasus Academy Trust	MAT
Academy	David Livingstone Academy	STEP Academy Trust	MAT
Academy	Davidson Primary Academy	Chancery Education Trust	MAT
Academy	Ecclesbourne Primary School	Pegasus Academy Trust	MAT
Academy	Fairchildes Primary School	Fairchildes Academy Community Trust	MAT
Academy	Forest Academy	Synaptic Trust	MAT
Academy	Gilbert Scott Primary School	The Collegiate Trust	MAT
Academy	Gonville Academy	STEP Academy Trust	MAT
Academy	Good Shepherd Catholic Primary School	Good Shepherd Catholic Primary and Nursery School	Single
Academy	Harris Primary Academy Benson	Harris Federation	MAT
Academy	Harris Primary Academy Haling Park	Harris Federation	MAT
Academy	Harris Primary Academy Kenley	Harris Federation	MAT
Academy	Harris Primary Academy Purley Way	Harris Federation	MAT
Academy	Heathfield Academy	STEP Academy Trust	MAT
Academy	Kensington Avenue Primary School	The Manor Trust	MAT
Academy	Keston Primary School	PACE Academy Trust	MAT
Academy	Kingsley Primary Academy	Cirrus Primary Academy Trust	MAT
Academy	Monks Orchard Primary and Nursery School	Fairchildes Academy Community Trust	MAT
Academy	New Valley Primary School	PACE Academy Trust	MAT
Academy	Oasis Academy Byron	Oasis Community Learning	MAT
Academy	Oasis Academy Ryelands School	Oasis Community Learning	MAT
Academy	Oasis Academy Shirley Park	Oasis Community Learning	MAT
Academy	Park Hill Junior School	The Folio Trust	MAT
Academy	Robert Fitzroy Academy	REACH2	MAT
Academy	Rowdown Primary School	Fairchildes Academy Community Trust	MAT
Academy	St Aidan's Catholic Primary School	St Aidan's Catholic Primary School	Single
Academy	St Chad's Catholic Primary School	St Chad's Catholic Primary School	Single
Academy	St Cyprian's Greek Orthodox Primary Academy	St Cyprian's Greek Orthodox Primary Academy	Single
Academy	St James the Great RC Primary and Nursery School	St James the Great R.C. Primary and Nursery School	Single
Academy	St Mary's Catholic Infant School	St Mary's Catholic Primary Schools Trust	MAT
Academy	St Mary's Catholic Junior School	St Mary's Catholic Primary Schools Trust	MAT
Academy	St Peter's Primary School	The Folio Trust	MAT
Academy	St Thomas Becket Catholic Primary School	St Thomas Becket Catholic Primary School	Single
Academy	The Crescent Primary School	The Pioneer Academy	MAT
Academy	The South Norwood Academy	The Pioneer Academy	MAT
Academy	The Woodside Academy	Synaptic Trust	MAT
Academy	Tudor Primary Academy	STEP Academy Trust	MAT
Academy	West Thornton Primary Academy	Synaptic Trust (due to change on 31/12/19)	MAT
Academy	Whitehorse Manor Infant School	Pegasus Academy Trust	MAT
Academy	Whitehorse Manor Junior School	Pegasus Academy Trust	MAT
Academy	Winterbourne Boys' Academy	The Platonos Trust	MAT
Secondary			
Academy	Harris Academy Purley	Harris Federation	MAT
Academy	Harris Academy South Norwood	Harris Federation	MAT
Academy	Harris City Academy Crystal Palace	Harris Federation	MAT
Academy	Meridian High School	GLF Schools	MAT
Academy	Norbury Manor Business & Enterprise College	The Manor Trust	MAT
Academy	Oasis Academy Arena	Oasis Community Learning	MAT
Academy	Oasis Academy Coulsdon	Oasis Community Learning	MAT
Academy	Oasis Academy Shirley Park	Oasis Community Learning	MAT
Academy	Orchard Park High School	Greenshaw Learning Trust	MAT
Academy	Riddlesdown Collegiate	The Collegiate Trust	MAT
Academy	Shirley High School Performing Arts College	Shirley High School	Single
Academy	St Joseph's College	St Joseph's College Delasalle	Single
Academy	The Archbishop Lanfranc Academy	The BEC Trust	Single
Academy	The Quest Academy - Coloma Trust	The Collegiate Trust	MAT
Academy	Woodcote High School	Woodcote High School	Single
SEN			
Academy	Beckmead family of schools	The Beckmead Trust	MAT

ARK - Absolute Return for Kids

GLF - Grow, Learn, Flourish

PACE - Partnership Achievement Community Excellence

STEP - Striving Together for Excellence in Partnership

CROYDON SCHOOLS FORUM - MEMBERS VOTING RIGHTS												
Version 3 -2019												
Ref 6.10	Casting a vote	Academies and Free Schools	Maintained Nursery Schools	Maintained Primary School Governors	Maintained Secondary School Governors	Maintained Primary	Maintained Secondary	Maintained Special Schools	Maintained Pupil Referral	Early Years Provider	Non Schools	Overall Total
	Members voting card colours	YELLOW	GREEN	GREEN	GREEN	GREEN	GREEN	GREEN	GREEN	PINK	PINK	
	Member voting totals by category group	8	1	2	1	2	1	1	1	1	4	22
a	Only maintained primary school members can vote on primary school de-delegation			2		2						4
b	Only maintained secondary school members can vote on secondary school de-delegation				1		1					2
c	Combined voting on de-delegation for primary and secondary schools may be taken where the requirement is common for both schools. Optional - may vote depending on paper			2	1	2	1	optional	optional			6
d	Retained funds for statutory duties relating to maintained schools only is limited to maintained primary, secondary special schools and PRU members			2	1	2	1	1	1			8
e	All school members can vote on the scheme for financing schools but not academies, free school members and PVI		1	2	1	2	1	1	1			9
f	All school members including academies, free schools and PVI members can vote on any other school forum business including consultation of the funding formula	8	1	2	1	2	1	1	1	1		18
g	Non school members cannot vote on de-delegation matters relating to the formula concerning schools and early years providers or the scheme for financing schools	8	1	2	1	2	1	1	1	1		18
h	Non school members can vote on any other school forum business	8	1	2	1	2	1	1	1	1	4	22
i	Local Authority officers and all observers have no voting rights. They have PURPLE cards and do not vote											

ITEM 2

School Audit Programme

Schools Forum – 12 July 2021

Recommendation

The Schools Forum is asked to:-

1. Note the amended School Audit Programme

Members of Forum allowed to vote:- N/A

1. School Audit Programme

- 1.1 Local authorities have continuing responsibility for financial regularity in the schools that they maintain. The chief financial officer (CFO) of the local authority is responsible for making the necessary arrangements for local financial and management controls, under section 151 of the Local Government Act 1972.
- 1.2 The CFO is required to submit a signed assurance statement to the department each year confirming that they have in place a system of audit for schools that gives them adequate assurance over their standards of financial management and the regularity and propriety of their spending.
- 1.3 A standard audit test programme is used to guide the testing conducted at each school. This is based on a number of regulatory and Council requirements, including (but not limited to): The Croydon Scheme for Financing Schools, the School Financial Value Standard (SFVS), the Governors Handbook, Safer Recruitment in Education, The Teachers Pay and Conditions Document, The School Governance (Roles, Procedures and Allowances) (England) Regulations 2013, the UK General Data protection Regulation (GDPR) etc.
- 1.4 Although the standard audit test programme is annually reviewed and, where appropriate, updated, substantial changes are avoided until after the third-year review, to help maintain comparability in audit results across the years. The previous audit programme was first used in 2018/19, so this has now been in place for more than three years.
- 1.5 Other than bringing the audit test programme up to date for changes in the School Financial Value Standard (SFVS), and some other minor legislative changes, there are no substantial changes proposed to the school's audit test programme. A copy of the amended audit test programme is attached as an appendix.
- 1.6 The amended school audit test programme is provided to the School's Forum to note. It also provides the opportunity for the Forum to review and make suggestions if it is thought that there is something missing or not right.

Recommendation: that Schools Forum note the amended School's Audit Programme

Dave Phillips
Senior Audit Manager
23 June 2021

ITEM 2a - Schools - Controls Test Programme 2021/22

Introduction

Sound financial management and controls are essential to schools because these provide an effective framework for financial planning and accountability and safeguard the use of public funds.

The Governance handbook, last published by the DfE on 8 October 2020, sets out the government's vision and priorities for effective governance and provides a first point of reference on all the legal duties on boards. It highlights that all boards have three core functions: Ensuring clarity of vision, ethos and strategic direction; Holding executive leaders to account for the educational performance of the organisation and its pupils, and the performance management of staff; and Overseeing the financial performance of the organisation and making sure its money is well spent.

The Governance handbook also provides a framework for auditors and inspectors when they evaluate these arrangements.

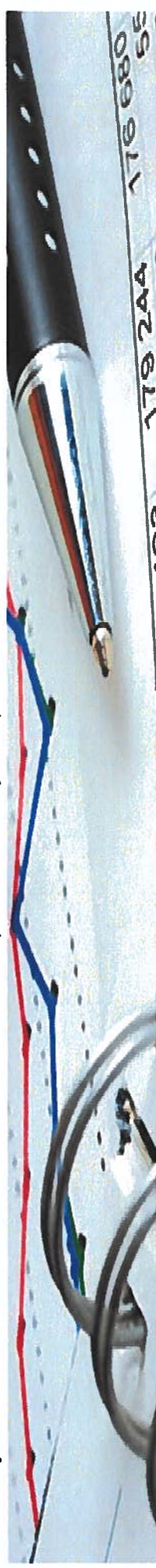
The Croydon Scheme for Financing Schools sets out the financial relationship between the LA and the maintained schools that it funds. It contains requirements relating to financial management and associated issues, binding on both the LA and schools.

The Schools Financial Value Standard (SFVS) standard is a mandatory requirement for Local Authority maintained schools

The objective of the controls testing is to provide an independent oversight of the school's financial affairs and provide the Governing Body with independent assurance that:

- The financial responsibilities of the Governing Body are being properly discharged;
- Resources are managed in an efficient, economical and effective manner;
- Systems of internal financial control are being maintained; and
- Financial considerations and risks are fully taken into account in reaching decisions.

The following is an outline of the programme of checks to confirm the operation of the main financial system and that the LA's requirements are followed. (Please note: This programme is only periodically updated about every three years to help provide consistency and able school audit results to be better compared across years.)





School: Type:	Schools	Period	2021/22	Auditor:	Date
Control Area:	Governance and Leadership [1]				
		Reviewed by:		Date	

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
1.1	<p>Full Governing Body meetings</p> <p>As per the SFVS there should be documentary evidence that the Governors are meeting at least on a termly basis to discuss school issues and there should be documentary evidence of the issues addressed and the outcomes.</p> <p>(Requirement of: <i>The School Governance (Roles, Procedures and Allowances) (England) Regulations 2013 paragraphs 13 (Convening meetings of the governing body), 14 (Proceedings of the governing body) and 15 (Minutes and Papers) apply and SFVS.</i>)</p>	<ol style="list-style-type: none"> 1) Obtain copies of the full governing body minutes for the last year and check that the minutes held: <ol style="list-style-type: none"> a) support regular termly meetings, b) include supporting documents tabled at the meeting, c) that the minutes have been approved and signed off by the Chairperson at the subsequent meeting; 2) Confirm that the meetings were quorate. 3) Confirm that any committees set up report regularly to the full governing body and that this is included in minutes. 			
1.2	<p>Induction /training for new Governors (Q1 SFVS)</p> <p>The governors should have been made aware of their responsibilities and understanding of their own financial management roles, responsibilities and those of others.</p> <p>Support and guidance is available to all Governing Body members via the Local Authority's Governor Services team.</p>	<ol style="list-style-type: none"> 1) Obtain evidence that new governors have been given adequate guidance and that their roles and responsibilities have been explained. Obtain/examine a copy of the school's induction pack or equivalent 2) Assess the financial aspects of the induction information available <p>This should include:</p> <ol style="list-style-type: none"> i. The Croydon Scheme For Financing Schools. 			

Ref Key	Control Process	Testing Procedure	Completed by Date	Result
		<ul style="list-style-type: none"> ii. School's delegation of authorisation levels. iii. Current year's approved budget. iv. the Governance Handbook. v. - A list of training available for Governors. 		
1.3	<p>Responsibilities of Finance Committee/s defined (Q2 and Q3 SFVS)</p>			
Key	<p>Governing Bodies have the power to set up committees. Each of the committees set up will have specific designated powers within the scope of their documented and agreed terms of reference.</p> <p>(Requirement of: <i>The School Governance (Roles, Procedures and Allowances) (England) Regulations 2013 PART 5 Committees of Governing Bodies</i>)</p> <p>Q2 SFVS asks 'Does the governing body have a finance committee (or equivalent) with clear terms of reference and a knowledgeable and experienced chair?'</p> <p>Q3 SFVS asks 'Does the governing body board receive clear and concise monitoring reports of the school's budget position at least six times a year?'</p>	<p>1) Check whether the Governing Body have set up committees and obtain details of the Finance (or equivalent) Committee composition and Terms of Reference to establish whether these clearly define the responsibilities designated to the committee:</p> <ul style="list-style-type: none"> a) Frequency of meetings b) Expenditure authorities delegated to Head Teacher c) Reference to budget setting and reporting requirements d) Budget virements e) Disposal of assets f) Tendering / quotations needed g) Contract approval <p>Obtain a copy of the latest version and check that the ToR has been subject to annual review by the full Governing Body. Obtain meeting minutes as evidence.</p> <p>2) Obtain copies of minutes of the Finance Committees (or Governing Body if not delegated) for a 12 month calendar period and confirm that these:</p> <ul style="list-style-type: none"> a) Make adequate reference to budget monitoring, budget setting, authorisation of higher value purchases or projects, cheque signatories, recruitment & staff emoluments (Payroll & Personnel authorisations). There should be an appropriate 		

Ref Key	Control Process	Testing Procedure	Completed by Date Result
		<p>record of documents presented to these meetings and copies of such documents should be held with the minutes, e.g. Budget monitoring reports. Note any unusual or significant items and ask for explanations as necessary.</p> <p>b) Evidence regular meetings as required by the ToR</p> <p>c) These are quorate and</p> <p>d) Minutes have been approved and signed off by the Chairperson at the subsequent meeting.</p>	
1.4	<p>Approved scheme of delegation (Q5 SFVS)</p>		
Key	<p>The roles and responsibilities of the governing body, any committees, the Head Teacher and other members of staff in relation to financial decision making and authorisation should be set out in writing within a Scheme of Delegation. (The scheme of delegation may also incorporate the terms of reference of the committees of the governing body.)</p> <p>The Scheme of Delegation should document those officers who have been delegated authority to authorise expenditure, virements, etc. If authority has been delegated to curriculum or departmental staff for the certification of ordering and payment, then a list the names and sample signatures of current budget holders should be included within the Scheme. (This is a requirement of: <i>The School Governance (Roles, Procedures and Allowances) (England) Regulations 2013</i> paragraph 18.—</p> <p>(1)...the governing body may delegate any of its functions to:</p> <p>(a) a committee;</p> <p>(b) any governor other than a governor who is the head teacher; or</p> <p>(c) where the function being delegated does not directly concern the head teacher, the head teacher (whether or not that person is a governor).</p> <p>(2) The governing body must review the exercise of functions they have delegated, annually</p>	<p>Obtain a copy of the school's delegation of authorisation levels.</p> <p>(Note that this may be the terms of reference for the committees or contained within the finance policy/manual).</p> <p>Confirm that:</p> <p>1) The document has been approved by the full Governing Body and has been reviewed by the Governing Body <u>annually</u>. Obtain meeting minutes as evidence.</p> <p>2) The roles and responsibilities of the governors, committees, Head Teacher and other relevant members of staff have been clearly defined in relation to financial decision making and administration.</p> <p>3) Delegation of authorisation levels are specified and also the different levels at which quotations or tenders are to be obtained. Assess whether these levels are appropriate.</p> <p>4) Check the School has access to adequate level financial expertise, including when specialist finance staff are absent, e.g. on sick leave?</p>	

Ref Key	Control Process	Testing Procedure	Completed by Date	Result
	Q5 of the SFVS requires Schools to have access to adequate level of financial expertise in the absence of specialist finance staff.			
1.5	Documented Financial Procedures available (Q18 & Q25 SFVS)			
Key	<p>Schools have many systems for processing and recording financial transactions, including governance, purchasing, payroll, contracting services, payroll and income collection. Control over these systems is fundamental in protecting the school from financial loss and fraudulent activity. The outputs of the various systems provide governors with invaluable information regarding the performance of the school.</p> <p>The Governing Body should therefore ensure that the school is working within documented and approved financial procedures in order to provide an effective framework within which the school's financial affairs are administered.</p> <p>As per Q18 of SFVS, does the school have procedures for purchasing goods and services that both meet legal requirements and secure value for money?</p> <p>As per SVS Q25, the School has adequate arrangements in place to guard against fraud and theft by staff, contractors and suppliers? (Please note any instance of fraud or theft detected in the last 12 months)</p>	<p>Obtain a copy of the school's financial procedures manual.</p> <p>Verify that:</p> <ol style="list-style-type: none"> 1) The School has detailed procedure notes covering all financial systems and procedures. 2) The school's financial procedures manual has been approved for adoption by the full Governing Body (in particular, where the procedures include the Scheme of Delegation). Obtain meeting minutes as evidence. 3) Check that the procedures have been subject to periodic review – this need not be done annually if there have been no changes and these do not include the Schools Scheme of Delegation. Obtain evidence of the last review and approval. 4) Check the arrangements in place to guard against fraud and theft. Note any instances of theft in the last 12 months. 		
1.6	Register of Pecuniary Interests and declarations of interests held (Q4 & Q24 SFVS)			
	<p>In compliance with the School Standards and Framework Act 1998, and Q4 of the SFVS declarations of pecuniary interests should be held for all members of the Governing Body. As a matter of best practice, it is also advisable to obtain declarations from the Head Teacher and other staff who are able to influence financial decisions. The Register forms an integral part of the school's system of financial control and as such should be held on site and made available for inspection by the Authority, Governors, Staff and parents.</p>	<p>Confirm that:</p> <ol style="list-style-type: none"> 1) The school holds a register of pecuniary interests for governors, which lists any business interests they or members of their immediate family have; 2) The Register includes the Head Teacher and any other staff who influence financial decisions; 3) The Register is open to examination by governors, staff, parents and the LA; 		

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
	<p>Q24 of the SFVS requires the School to have adequate arrangements in place to manage conflicts of interests and related party transactions.</p>	<p>4) Register of Business interest forms have been renewed and countersigned for all current Governors within the last 12 months; and.</p> <p>5) The agendas of each Governing Body and each committee meetings include a standing item for declarations of interests to be raised and declared if appropriate.</p> <p>6) The School has adequate arrangements in place to manage conflicts of interests and related party transactions.</p>			
1.7	<p>Schools Financial Value Standard (SFVS) has been completed and action is taken to address weaknesses.(Q29 SFVS)</p>	<p>The standard consists of 29 questions which governing bodies should formally discuss annually with the Head Teacher and senior staff.</p> <p>The questions which form the standard are in sections A to G. Each question requires an answer of Yes, In Part, or No.</p> <p>If the answer is Yes, the comments column can be used to indicate the main evidence on which the Governing Body based its answer.</p> <p>If the answer is No or In Part, the column should contain a very brief summary of the position and proposed remedial action.</p> <p>In the 'Introduction and outcomes' (and in line with Q29), governors should summarise remedial actions and the timetable for reporting back. Governors should ensure that each action has a specified deadline and an agreed owner.</p> <p>The governing body may delegate the consideration of the questions to a finance or other relevant committee, but a detailed report should be provided to the full governing body and the chair of governors must sign the completed form.</p> <p>The school must send a copy of the signed standard to their local authority's finance department.</p> <p>There is no prescription of the level of evidence that the governing body should require. The important thing is that governors are confident about their responses.</p>	<p>1) Obtain evidence of the minutes from the Full Governing Body meeting at which the SFVS was discussed and agreed.</p> <p>2) When the question to the answer is YES, identify whether there is evidence provided on which the governing body based its answer.</p> <p>3) When the answer to the question is IN PART OR NO, identify whether there is a brief summary of the position and proposed remedial action.</p> <p>4) Identify whether the School had completed and submitted the SFVS to their Local Authority by 31 March 2021 (and annually thereafter).</p> <p>5) Confirm whether the current version of the SFVS form has been used and based on the results of the audit, determine if the school's SFVS is accurate.</p>		

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
1.8	Internal Audit recommendations reported to Governing Body (Q23 SFVS)	Establish when the school's last Internal Audit was. Through enquiry and examination of relevant documentation, establish when the report had been presented to the Governing Body and whether the risks have been cleared. Obtain meeting minutes as evidence.			
1.9	Whistleblowing procedures in place and communicated (Q26 SFVS)	<p>The Schools Financial Value Standard (SFVS) Question #23 requires the Governing Body to ensure there are no outstanding matters from audit reports or from previous consideration of weaknesses.</p> <p>Schools and their parent LAs are covered by the Public Interest Disclosure Act 1998 which added legal backing to the Nolan proposals. To quote from the Act itself, it is, "An Act to protect individuals who make certain disclosures in the public interest; to allow such individuals to bring action in respect of victimisation; and for connected purposes."</p> <p>Following on from the Act, each LA has developed its own Whistle Blowing policy to provide protection for individuals who disclose malpractice and wrongdoing. This policy will apply to the school and it would be appropriate for the governing body to consider the LAs policy and endorse procedures for school staff and ensure its staff are made aware of its existence. In particular, they should be made aware of:</p> <ul style="list-style-type: none"> * The categories of staff to who the protection is available * The areas of malpractice and wrongdoing that are covered; * The routes available within the LA for raising issues. <p>(Note - the School may adopt its own whistle blowing procedures.)</p> <p>Q26 of the SFVS also states whether staff are aware of the of the whistleblowing arrangements and to whom they should report concerns.</p>	<p>1) Establish whether the school has details of the LA whistle blowing policy for schools.</p> <p>Where the School has formulated and adopted its own whistle blowing policy check that this covers the following:</p> <ol style="list-style-type: none"> a) the/method to raise concerns b) contains an Independent point of disclosure (i.e. someone not involved in the management of the School) c) gives a Guarantee of anonymity <p>2) Determine and assess the arrangements that are in place to make sure that staff are aware of it.</p> <p>3) Obtain evidence to verify that the Governing Body has approved the Whistle blowing Policy</p>		

School:

Type:

Schools

Period 2021/22

Auditor

Date

Reviewed by

Date

Control Area: Budget Planning, Monitoring and Reporting [2]

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
2.1	<p>Appropriate Budget Setting Procedures (Q6, Q9, Q10, Q11 and Q13 of SFVS)</p> <p>There should be an adequate framework that will ensure an appropriate budget is prepared and approved prior to commencement of the financial year. Effective budget setting should incorporate the following factors:</p> <ul style="list-style-type: none"> * all income sources & basis of funding from LEA * project expenditure and income as identified in SDP <p>The Croydon Scheme for Financing Schools details the process for a deficit license.</p> <p>The annual budget should be formally approved by the full Governing Body.</p> <p>The Schools Financial Value Standard (SFVS) Q9 requires the School to set a well-informed and balanced budget with an agreed and timed plan for eliminating any deficits for at least three years, using the best available information.</p> <p>As per Q10 of the SFVS the School should ensure the budget setting process allows sufficient time for the Governing Body to scrutinise and challenge the information provided.</p> <p>Q11 of the SFVS requires the School to be realistic in their pupil number projections and make sure they can quickly recast the budget if the projections and reality are different.</p> <p>As per Q13 of the SFVS, the School should ensure the balances are at a reasonable level and the School has a</p>	<p>1) Through discussion with the Head Teacher and the examination of budget plans establish whether all factors were taken into account. For example, lettings income etc. This should be based on the best and most complete information available (e.g. actual and projected pupil numbers and notifications of funding levels).</p> <p>2) If an overall deficit budget has been set, check that this has been licensed / agreed by the Council and that a 3 year plan is in place to eliminate it.</p> <p>Similarly, if the School are carrying a significant level of reserves (more than 8% of its budget), a plan agreed by the LA should be in place that defines how these reserves will be used.</p> <p>3) Check that budget plans were approved by the Full Governing Body - this should be documented within the minutes of the relevant meeting – and was submitted to the Council by 1 May 2021 *(and annually thereafter). Check if the timing was appropriate.</p> <p>4) Obtain a copy of the school's Three Year Budget Plan as required by SFVS Question 9 and confirm that this is appropriate. If this forecasts a deficit, establish what actions the School is planning to remedy this and assess the adequacy of these.</p> <p>5) Check if the School has undertaken a pupil number projection and determine, if required, that the school</p>			

Ref Key	Control Process	Testing Procedure	Completed by Date Result
	<p>plan for using money it plans to hold in balance at the end of each year.</p> <p>As per Q6 of the SFVS the School is required to have a realistic, sustainable, and flexible financial strategy in place for at least the next 3 to 5 years, based on realistic assumptions about future funding, pupil numbers and pressures. The strategy should be integrated with the School's strategy for raising standards and attainment.</p>	<p>can quickly recast the budget if the projections and the reality are significantly different.</p> <p>6) Establish whether the School ensures the balances are at a reasonable level and if they have a plan for using the money they hold in balance at the end of each year. Obtain the plan.</p> <p>7) Confirm whether the School has in place a 3 year strategy</p> <p>9) Confirm if the strategy is realistic, sustainable and flexible</p> <p>9) Confirm if the strategy has been approved by Governors</p> <p>10) Is the policy based on future funding, pupil numbers and pressures?</p> <p>11) Is the policy integrated with the School's strategy to raise standards and attainment?</p>	
2.2	<p>Budget correctly updated to SIMS/Schools Financial System (Q27 SFVS)</p> <p>The school's approved budget as agreed with the Council and the Governing Body should be correctly input to SIMS.</p> <p><i>Refer to SFVS Q27 'does the School have an accounting system that is adequate and properly run and delivered accurate reports, including the annual Consistent Financial Reporting return.'</i></p>	<p>1) Obtain a documented copy of the school's approved budget and reconcile</p> <p>a. the totals and</p> <p>b. 5 of the main budget headings</p> <p>to the budget set up on SIMS (using the Chart of Accounts Review - Cost Centre Report), to gain assurance that the budget has been entered correctly and that no unauthorised virement(s) have occurred.</p> <p>2) Confirm that the budget has been 'fixed' (if it has been fixed it will be in the "Original Budget column).</p> <p>3) Confirm whether the School has an adequate and properly run accounting system.</p> <p>4) Establish whether it runs reports including the annual consistent financial reporting return.</p>	

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
		Note: Obtain the school's Annual Budget Listing - By Ledger Code report and a copy of the Chart of Accounts Listing Report.			
2.3	<p>Appropriate financial competencies of Governors and Staff (Q1 and Q2 SFVS)</p> <p>Schools Financial Value Standard (SFVS) Question #1 requires that the governing body and senior staff have adequate financial skills among its members to fulfil its role of challenge and support in the field of budget management and value for money.</p> <p>SFVS Question #2 requires that the finance committee chair is appropriately experienced in financial skills and management.</p> <p>The Governance handbook paragraph 43 (page 32) states that, 'The board's [Governing Body's] <i>third core function is to oversee financial performance and make sure money is well spent. It should do this by ensuring it has at least one individual with specific, relevant skills and experience of financial matters. However, everyone on the board should have a basic understanding of the financial cycle and the legal requirements of the school on accountability and spend.</i>'</p>	<p>1) Through enquiry of staff and examination of any relevant documentation held, establish how the school has assessed the financial competencies of:</p> <p>(i) Staff with financial responsibilities;</p> <p>(ii) All members of the Governing Body.</p> <p>(Refer to the DfE website for a financial management skills matrix for governors under the 'Additional Resources' in the 'Support Notes' section of the DfE SFVS webpages. Make sure the current version is being used.)</p>			
2.4	<p>Budget Monitoring Procedures (Q4 and Q12 SFVS)</p> <p>Monitoring procedures should be appropriate for the value of the resources being managed and there should be overall control over expenditure. This may be achieved by the following:</p> <ul style="list-style-type: none"> * Preparation of monthly budget monitoring reports from the school's financial accounting system * Established reporting lines (i.e. Finance Committee, Governing Body, etc.) * Established cycle of reporting (e.g. monthly, six-weekly) 	<p>1) Obtain copies of the budget monitoring reports used by the Head Teacher and the Governors and comment on the appropriateness of these.</p> <p>2) Confirm that the budget is regularly monitored by the Head Teacher on a monthly basis and quarterly by the Finance Committee or Governing Body. Obtain evidence of this.</p> <p>3) Review the monitoring reports and obtain explanations for any significant variances (over or under spending). Establish whether appropriate</p>			

Ref Key	Control Process	Testing Procedure	Completed by Date Result
	<p>* Clear roles/responsibilities regarding the monitoring of income and expenditure</p> <p>* Records of corrective action taken</p> <p>The Schools Financial Value Standard (SFVS) Question #4 requires the Governing Body receives clear and concise monitoring reports of the school's budget position at least six times a year.</p> <p>SFVS Question #12 requires that variances in the end year outturn and year end outturn are reported to the Governing Body in a timely manner.</p>	<p>remedial action is being taken in a timely manner (at least 6 months in advance of a forecasted deficit).</p> <p>Comment on the school's overall financial position.</p> <p>(Note if an overall deficit is forecast or appears likely, establish the adequacy of actions being taken to remedy this.)</p> <p>4) Identify from the Head Teacher the extent of formal delegation for managing the school's budget e.g. responsibility delegated to curriculum budget holders and confirm that any delegated budget holders receive regular and appropriate updates regarding their expenditure and remaining available funding.</p>	

School:

Type:

Schools

Control Area:

Payroll [3]

Period: 2021/22

Auditor:

Date

Reviewed by

Date

Ref Key	Control Process	Testing Procedure	Completed by	Date Result
3.1.	<p>Correct payments and staff structure (Q14 and Q16 SFVS)</p> <p>The Head Teacher should maintain a list of staff employed, which includes their up to date pay rates. Regular spot checks should be carried out by the Head Teacher to ensure that payments made are appropriate and accurate. Checks should ensure that only persons employed at the school are paid by the school and that the amounts paid are correct.</p> <p>Schools Financial Value Standard (SFVS) Q14 asks <i>'Does the school review and challenge its staffing structure regularly to ensure it is the best structure to meet the needs of the school whilst maintaining financial integrity?'</i></p> <p>As per Q16 of the SFVS, the School should benchmark the size of its senior leadership team annually against that of similar schools</p>	<ol style="list-style-type: none"> 1) Check the payroll listing against the SIMS list of current staff (Note source of evidence used for verification and ascertain explanations for any variances highlighted.) 2) Check whether the staff structure has been reviewed in the last 12 months and whether staff details and roles are visibly displayed (physically or electronically). 3) Through enquiry and examination of appropriate documentation confirm that the School's staffing structure was reviewed in the last 12 months by the Governing Body/Personnel Committee. 4) Check to confirm that the Head Teacher reviews and signs the monthly payroll reports to confirm accuracy and acceptance. 5) Examine the payroll, disbursement account records and school fund records for awards/ex gratia payments and check for validity and proper authorisation. 6) Establish whether the School benchmarks the size of its senior leadership team annually against that of similar schools. This should be shared with governors. Obtain a copy of the last such benchmark report. 		

Ref Key	Control Process	Testing Procedure	Completed by Date Result
3.2.	<p>Starters are properly administered</p> <p>There should be an adequate framework that would ensure that all appointments/terminations are necessary and comply with the school's policy and statutory requirements.</p> <p>Refer to https://www.gov.uk/check-job-applicant-right-to-work - copies of documents seen must be signed and dated and annotated 'original seen'.</p> <p>Refer to 'Keeping Children Safe in Education' https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/954314/Keepin_g_children_safe_in_education_2020_-_Update_-_January_2021.pdf for information on shortlisting, interviewing and safeguarding checks.</p>	<p>Select a sample of 3 three starters in primary schools and five in secondary schools from the period under review. NB: Please ensure that at least one of the sample is a member of non-teaching staff and one a teacher if possible.</p> <p>Establish whether:</p> <p>a) The posts were advertised (or employees were recruited from a pool of candidates).</p> <p>b) The shortlisting and interview panels consisted of the same officers, one of whom was trained in safer recruitment.</p> <p>c) Evidence is available of the panels' notes.</p> <p>d) (i) Two references from a recent employer were taken, (ii) These are on file and (iii) Are sufficient to justify the appointment (i.e. no concerns were included).</p> <p>(iv) Obtained in advance of appointment being offered.</p> <p>e) Evidence of the right to work in the UK and proof of identification was obtained prior to any offer of employment. (Refer to UKBA guidance that requires signed copies to be maintained.)</p> <p>f) Barred list (formerly List 99) check carried out prior to employment</p> <p>g) A DBS (formerly CRB) check has been carried out in a timely manner. If DBS has not been obtained a search form and risk assessment should have been completed.</p> <p>Note: There is no longer an employer's copy and the expectation is that the school has sight of the</p>	

Ref Key	Control Process	Testing Procedure	Completed by	Date Result
		<p>employees copy. In line with UK GDPR and the DPA 2018 a copy can only be kept for 6 months.</p> <p>Where an enhanced DBS disclosure indicates previous conviction/s the school should have completed and recorded a risk assessment.</p> <p>h) Compare starting salary to payroll records (PFIS) for accuracy.</p>		
3.3	<p>Leavers are properly administered</p> <p>There should be an adequate framework that would ensure that all appointments/terminations are necessary and comply with the school's policy and statutory requirements.</p>	<p>Select a sample of 3 three leavers in primary schools and five in secondary schools from the period under review:</p> <p>a) Confirm that leaving date agrees with correspondence, i.e. resignation letter/termination notice and whether the Head Teacher acknowledged the resignation in writing.</p> <p>b) Confirm that the leavers sampled are no longer being paid.</p> <p>(Note the number of leavers should more or less equal the number of starters. If there is disparity, this should be queried).</p>		
3.4	<p>Pay policy and procedures are appropriate</p> <p>The Governing Body should establish procedures for the administration of personnel activities including appointments, terminations and promotions.</p> <p>The School pay policy must be annually approved by the Governing Body.</p>	<p>Check with the Head Teacher whether there is a School Pay Policy and whether it has been annually approved by the Governing Body. Obtain a copy of the document and review the Governing Body minutes to identify and document the date of approval</p>		

Ref Key	Control Process	Testing Procedure	Completed by Date Result
3.5	<p>Head Teachers Annual Appraisal and Pay (Q15 SFVS)</p> <p>The process for both teacher and Head Teacher appraisal needs to be documented in the school's appraisal policy. This is a requirement of: <i>The Education (School Teachers' Appraisal) (England) Regulations 2012</i> :</p> <p>4. <i>The governing body of a school must appoint an external adviser for the purposes of providing it with advice and support in relation to the appraisal of the Head Teacher. Q15 of the SFVS requires the School to use professional independent advice informed part of the pay decision process in relation to the Head Teacher and it is tightly correlated to educational outcomes and sound financial management.</i></p> <p>7. (2) <i>In appraising the performance of the Head Teacher, the governing body of a school must consult the external adviser appointed under regulation 4.</i></p> <p>The appraisal is usually carried out by an appraisal sub/group/panel of two or three governors with an external adviser being used for advice, support and to consult with regarding appropriate objectives. It makes a recommendation on pay progression, where relevant, which must be by 31 December.</p> <p>Q15 of SFVS asks whether, <i>'Has the use of professional independent advice informed part of the pay decision process in relation to the Head Teacher and is it tightly correlated to strong educational outcomes and sound financial management?'</i></p> <p>Each school has a leadership group salary scale, in line with the teachers' Pay and Conditions document, agreed with the Council.</p> <p>Pay ranges for Head Teachers should not normally exceed the maximum of the leadership group. However, the pay range may exceed the maximum where the Governing Body determines that circumstances warrant. The maximum of the Head Teachers' pay range and any</p>	<p>1) Obtain a copy of the Schools Pay Policy and / or Appraisal Policy. Confirm that this details the process for appraising the Head Teacher.</p> <p>2) Confirm that a Head Teacher appraisal sub/group/panel of two or three governors with an external adviser has been established.</p> <p>3) Confirm that the annual appraisal of the Head Teacher was completed by 31st December and that the results are in writing along with any pay increase.</p> <p>4) Any increase in Head Teacher pay should be ratified by the full Governing Body.</p> <p>5) Confirm that any increase in Head Teachers pay has been correctly applied (may be retrospective from September). There should only be an annual increase in pay.</p>	

Ref Key	Control Process	Testing Procedure	Completed by	Date Result
	additional payments should not exceed the maximum of the Leadership group by more than 25% other than in exceptional circumstances; in such circumstances, the governing body must seek external independent advice before providing such agreement and support its decision with a business case.			
3.6	<p>Personnel records are held securely</p> <p>The Head Teacher should ensure that only authorised staff have access to personnel files.</p> <p>This is a requirement of the Data Protection Act 2018 and the UK General Data Protection Regulations (UK GDPR)</p>	Establish whether personnel records are held securely and that only authorised officers have access to those files. Comment on whether officers are aware of the need for confidentiality.		
3.7	<p>A Single Central Record (central DBS register) is maintained</p> <p>A Single Central Record (centralised DBS register) for all staff employed at the School should be maintained. (Including agency/temporary staff.)</p> <p>This should detail:</p> <ul style="list-style-type: none"> - All staff employed - Governors - When DBS checks were undertaken - renewal dates - List 99 checks <p>NB: Under the School Governance (Constitution and Federations) (England) (Amendment) Regulations 2016. Where a governor has been elected or appointed before 1st April 2016 and does not hold an enhanced criminal record certificate, the governing body must apply for such a certificate in respect of that governor by 1st September 2016. Where a governor is elected or appointed on or after 1st April 2016 and does not hold an enhanced criminal record certificate, the governing body must apply</p>	<p>1) Establish whether the School maintains a Single Central Record.</p> <p>2) Examine the document and identify whether DBS checks are up to date (i.e., are reviewed every 3 years).</p> <p>3) For Governors check that the DBS has been applied for within 21 days of the appointment or election</p> <p>(Note:</p> <ol style="list-style-type: none"> 1) Obtain a copy of the DBS register <u>without</u> personal data. 2) Copies of the DBS checks should not be retained for more than 6 months – this is against the DPA 2018 and UK GDPR and why there is a single central record. 3) Some staff may be subscribed to the automatic update / renewal service which negates the need to renew 3 year DBS checks.) 		

Ref Key	Control Process	Testing Procedure	Completed by Date Result
	<p>for such a certificate in respect of that governor within 21 days after his or her appointment or election</p> <p>Refer to 'Keeping Children Safe in Education' https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/954314/Keeping_children_safe_in_education_2020_-_Update_-_January_2021.pdf for information on the Single Central Record.</p>		

Safeguarding [4]

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
4.1.	<p>Compliance with Statutory Requirements</p> <p>To assess compliance with Keeping Children Safe in Education (DfE 2021) - statutory guidance which schools must have regard to when carrying out their duties to safeguard and promote the welfare of children. This means that they should comply with it unless exceptional circumstances arise.</p> <p>This document sets out the roles of schools and their staff, and makes a number of key requirements.</p>	<ol style="list-style-type: none"> 1) Schools are required to complete an annual safeguarding self-assessment and submit this to the Council in September each year. Obtain a copy and confirm that this was submitted by the deadline. 2) Identify whether the School has a Designated Safeguarding Lead (DSL), a nominated deputy and designated safeguarding Governor. <ol style="list-style-type: none"> a) Obtain the names and positions of these and check that this information is displayed on the School website. b) Obtain evidence that the DSL and deputy have attended Designated Safeguarding Lead Training (statutory) within the last 2 years. c) Establish how children are made aware of who the DSL lead person is – e.g. by displaying pictures of DSL/s. 3) School safeguarding systems should be explained to staff as part of the staff induction process. Obtain a copy of the staff induction pack and confirm that it includes the following:- <ol style="list-style-type: none"> a) The Child Protection Policy – check that this is also published on the School's website. b) The Staff Behaviour Policy (or code of conduct) c) The role of the designated DSL 4) Check that staff members receive appropriate training which is regularly updated and which has been approved by Governors. This should be signed for training and should include: 			

Ref Key	Control Process	Testing Procedure	Completed by Date	Result
		<p>a) Awareness training for whole staff (statutory)</p> <p>b) Training about preventing terrorism (statutory)</p> <p>c) Training on specific issues</p> <p>i. Female Genital Mutilation</p> <p>ii. Child Sexual Exploitation</p> <p>5) In addition, check whether staff members receive safeguarding and child protection updates (this would typically be carried out on an inset day), at least annually. Obtain evidence of this.</p> <p>6) All staff should be aware of the process for making referrals :-</p> <p>a) regarding children, or</p> <p>b) regarding adults</p> <p>... along with the role they might be expected to play in such assessments. Check whether this is included in policies and displayed throughout the School, for example: flowcharts showing the processes displayed around the School (staffroom, toilet doors, School office etc.) in more than one place.</p>		
4.2	<p>Children going missing from education</p> <p>A child going missing from education is a potential indicator of abuse or neglect.</p>			
		<p>1) Confirm that the School has an Admissions Register and an Attendance Register, and that these are accurate and kept up to date.</p> <p>2) Check the School's procedures regarding informing the local authority when a pupil's attendance is irregular or when the pupil has been absent for 10 continuous days or more.</p> <p>3) Check and obtain evidence that the School notifies the local authority when a pupil's name is to be deleted from the admission register.</p> <p>(NB This does not apply to pupils who have completed the school's final year).</p>		

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
5.1	<p>Official orders are raised and appropriately authorised (Q17 SFVS)</p> <p>Official orders should be raised on SIMS, in order to commit the expenditure on the school's accounting system. All orders should be appropriately authorised by a certifying officer and a signed copy of the official order should be retained on file.</p> <p>Refer to Q17 SFVS "does the School have procedures for purchasing goods and services that meet legal requirements and secure value for money?"</p>	<p>Obtain a copy of the Bank History Report from SIMS, detailing all transactions for the financial year. Using this report, select a random sample of 15 payments (include 2 or 3 high value purchases and a couple of payment to non-staff individuals in your sample) and perform the following tests:</p> <ol style="list-style-type: none"> 1) Check that purchase orders are appropriately certified preferably by the Head Teacher or a Senior Member of staff who has been approved by the Governing Body or Head Teacher, in compliance with the Financial Policy or the Scheme of Delegation. (refer to test 1.1.4) 2) Check that, where necessary, for higher value purchases, that approval from the Governing Body or Finance Committee has been obtained. 			
5.2	<p>All orders are appropriate for the School</p> <p>All purchases should be in accordance with and appropriate for the needs of the school.</p>	<ol style="list-style-type: none"> 1) For the sample of purchases tested (refer to test 5.1.1) establish whether all transactions tested are for goods and services that are reasonable for the use of the school, (i.e. Orders are only used for goods and services provided to the school.) Individuals must not use official orders to obtain goods or services for private use. School funds must not be used to buy gifts or provide benefits in kind for staff members. 			

Ref Key	Control Process	Testing Procedure	Completed by Date Result
		<p>2) Check the sample of purchases selected for testing to check that there is no evidence of goods being ordered for the private use of employees.</p> <p>3) (Review bank account history to identify significant payments to individuals to ensure that they should not be employees and paid through the payroll.</p> <p>Confirm that the IR35 (Employed vs self-employed) tool from HMRC has been used to establish employment status.</p> <p>Note: The IR35 tool should be filled in by the School and not the individual engaged and the IR35 tool should be completed based on the 'contract' (which may just be an order).</p>	
5.3	<p>Written orders are used and are raised in advance of purchases being initiated</p> <p>Official pre-numbered orders should be used for all goods and services except utilities, rents, rates and petty cash payments. Where urgency requires an oral order this should be confirmed by a written order.</p>	<p>For the sample of transactions tested (refer to test 5.1.1), establish whether:</p> <p>1) Official pre-numbered orders are used for all goods and services except utilities, rents, rates and petty cash payments.</p> <p>2) Orders are raised in advance of purchases being initiated.</p> <p>(Where urgency requires an oral order this should be confirmed by a written order.)</p>	
5.4	<p>All goods ordered are received by the School</p> <p>Delivery notes should be checked to the goods/services received and evidenced as such by the officer checking the quality and quantity of the goods, before any invoice is paid. The officer checking the goods/services received should be independent of the person responsible for the administration of orders and payments.</p>	<p>For the sample of transactions tested (refer to test 5.1.1), establish whether appropriate goods/services received checks have been evidenced. (This person should not be the same person that approved the purchase order in test 5.1 or authorised the invoice in test 5.6)</p>	

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
	Note: Where delivery notes are not obtained, the goods/services received check should be evidenced on the invoice.				
5.5	Appropriate supporting documentation is available All expenditure is supported by a valid receipt or invoice from the supplier.	For the sample of transactions tested (refer to test 5.1.1), establish whether: 1) A valid receipt or invoice is held from the supplier for each transaction. The invoice should be addressed to the school and show an adequate description of the goods or services purchased. Where VAT has been charged by the supplier, check that the invoice or receipt is valid for VAT purposes. 2) Check that the calculations on the invoice are correct and that the payment made agrees to the documented value on the invoice.			
5.5	Appropriate authorisation of Invoices All invoices should be appropriately authorised. The school should maintain a list of authorised signatories, which documents their respective financial limits.	For the sample of transactions tested (refer to test 5.1.1), establish whether all invoices within the sample tested have been appropriately authorised. (Note: In some higher value cases Governing Body or Finance Committee approval may be needed). This person should not be the same person that carried out the goods received check in test 5.4			
5.6	Value for Money is demonstrated (Q19, Q20 and Q21 SFVS) The school should always consider price, quality and fitness for purpose when purchasing goods and services. Procedures for obtaining alternative quotations or putting contracts out to tender should be documented within the school's Financial Policy (or Purchasing Policy). All policies should comply with the Council's standing orders and financial regulations for schools.	1) For the sample of purchases tested, verify that alternative estimates (either quotes or tenders) have been obtained for all items of major expenditure in line with the school's Financial Policy and the Council's financial regulations. (Note: Website print offs or catalogue prices are sufficient to demonstrate market testing).			

Ref Key	Control Process	Testing Procedure	Completed by Date	Result
	<p>As per Q19 of the SFVS, the Governing Body should be given an opportunity to challenge the school's plans for replacing the contracts got goods and services that are due to expire shortly.</p> <p>Q20 of SFVS asks, 'Does the School consider collaboration with others, e.g. on sharing staff or joint purchasing, where that would improve value for money?'</p> <p>Q21 of SFVS asks, 'Do you compare your non-staff expenditure against the DfE recommended national deals to ensure you are achieving best value?'</p>	<p>2) Confirm whether the Governing Body challenge contracts due to expire shortly.</p> <p>3) Confirm whether the School has the school has considered:</p> <ul style="list-style-type: none"> i. Collaboration with other schools for shared services / joint procurement ii. The DfE national 'Buying for Schools' deals? 		
5.7	<p>Records are appropriately stored</p> <p>The School should be maintaining proper accounting records throughout the year</p>	<p>Verify that these records are being stored securely and in accordance with the school's documents retention policy.</p>		
5.8	<p>Comparison of performance to enable improvement (Benchmarking) (Q17 SFVS)</p> <p>The governors and the staff should have compared the school's performance with that of similar schools, examining reasons for differences and taking action where required.</p> <p>Refer to SFVS question 17, 'Does the school benchmark its income and expenditure annually against that of similar schools and investigate further where any category appears to be out of line?' https://schools-financial-benchmarking.service.gov.uk/</p>	<p>Establish whether the School has carried out a benchmarking exercise and if so, the methods used to achieve this.</p> <ul style="list-style-type: none"> 1) Obtain evidence of usage of a benchmarking website (or similar tool used) which allows a comparison of performance with other schools. <ul style="list-style-type: none"> • Consider whether the schools used for comparison are reasonable and suitable. • Verify that the benchmarking process has identified areas for improvement, and set targets for these improvements. • Verify that the benchmarking exercise had been completed for income and expenditure. 2) Ascertain whether these findings have been discussed with the school Governing Body/ Finance Committee. 		

Ref Key	Control Process	Testing Procedure	Completed by Date	Result
		3) Confirm that the benchmarking was conducted in the last 12 months.		
5.9	<p>Authorisation of petty cash reimbursement claims</p> <p>All petty cash expenditure should be approved prior to purchases being made to ensure that the purchase is reasonable. Reimbursement claims should be documented and supported by receipts. VAT should be identified and re-claimed, where applicable. All reimbursement claims should be signed for on authorisation of payment and countersigned by the claimant upon receipt of the reimbursement.</p> <p>All claims should lie within the limit set by the School. Where the School has not set a limit claims should be within the Council's limit (£25).</p>	<p>Through discussion establish whether petty cash is held and if so, through reference to some sample petty cash claims and further discussion establish whether:</p> <p>1) A petty cash limit is in place and adhered to (Note: Look out for consecutive like transactions which may highlight where transactions are being split to deliberately by-pass the limit) ;</p> <p>2) Petty cash transactions are authorised and supported by appropriate receipts.</p> <p>(Note: Where petty cash claims are for travel it should be made clear on the petty cash voucher that the journey is undertaken on behalf of the school.)</p>		

School:	Schools	Period	2021/22	Auditor	Date
Type:				Reviewed by	Date
Subject Area:	Banking [6]				

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
6.1	Cheque security is appropriate Cheques should not be pre-signed by any of the authorised cheque signatories and should be used in sequential order.	1) Examine the current cheque books to confirm that cheques have not been pre-signed by any of the cheque signatories.			
6.2	Regular bank reconciliations conducted All transactions in the schools account should be reconciled to the bank statement.	<p>1) Check to confirm that regular (at least monthly) reconciliations are carried out between the data held on SIMS/RM Finance and the bank statement. Note the date of the most recent reconciliation.</p> <p>2) Check to verify that all bank reconciliations are signed by the person performing the reconciliation. Confirm that completed bank reconciliations have been independently signed off by someone who understands the reconciliation process (preferably the Head Teacher).</p> <p>3) Obtain an unreconciled items listing report from SIMS/ RM Finance and check that there are no unusual or long standing unreconciled items listed. (Critically examine the listings of unreconciled payments and income for out of date or unusual items (e.g. unreconciled journal entries, duplicate entries, old unreconciled receipts - i.e. anything over 6 months old should be cleared as the bank may not process these.))</p> <p>4) Examine the school's bank statements and confirm that the bank account has not been overdrawn in the last six months. (Please note the</p>			

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
6.3	Budget cashflow forecasting procedures				
Key	The School bank account should not go overdrawn.	1) Obtain a copy of the school's cashflow forecasting report/s used to predict the school's future cash requirements and in particular to ensure that there will be adequate funds in the school's bank account to cover the future monthly payroll deductions (especially during the next school holiday).			
6.4	Bank signatories are appropriate				
	All cheques should be signed by two authorised signatories, and financial procedure notes should stipulate that supporting documents should be made available to both cheque signatories (i.e. invoice should be presented with the cheque).	Obtain a copy of the authorised signatures list for the school's main bank account (from Gina Michel, LBC) and establish whether: 1) Two cheque signatories are required; 2) All signatories included on the bank mandate are current employees of the school (note: governors should not be included as authorised signatories) 3) Confirm that the sample signatures given on the bank mandate are manuscript signatures, (i.e. not initials or symbols). (Note: Instructions to the bank are not sufficient, the School should have obtained confirmation from the bank / Council as to who the current signatories are)			
6.4	Procurement cards are only issued to authorised staff				
	Procurement Cards are only issued to authorised staff. The Governing Body should authorise all cards prior to these being issued.	Where applicable: 1) Check that the Governing Body has authorised the issue of all procurement cards in use			

Ref Key	Control Process	Testing Procedure	Completed by Date	Result
	A signed agreement should be held confirming that the member of staff agrees to the terms of use.	<p>(Note: Debit Cards, Store card and Credit Cards are not permitted by the L.A. Only Council Procurement cards are allowed. No other procurement cards should be used.)</p> <p>2) Confirm that there is an signed agreement in place for staff issued with procurement cards.</p> <p>(Staff members should agree to the terms of use that the card will only be used for School purposes and this should be formally agreed in writing)</p>		
6.5	<p>Reconciliations are conducted for all procurement card expenditure</p> <p>Procurement card statements should be reconciled on a monthly basis.</p>	<p>1) Confirm that regular (monthly) reconciliations are conducted for procurement card expenditure by an independent member of staff</p> <p>(Reconciliations should be conducted between items on card statements and receipts. A valid receipt should be held for all transactions listed.)</p> <p>2) Examine expenditure listings for 1 month and confirm that items of expenditure are reasonable, i.e. for School purposes.</p>		

School:	Period	2021/22	Auditor	Date
Type:	Schools		Reviewed by	Date
Control Area:	Information Governance [7]			

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
7.1	Governance arrangements In order to comply with the Data Protection Act (DPA) 2018 and UK General Data Protection Regulations (UK GDPR) and help ensure the protection of personal data, appropriate information governance should be in place.	Through discussion and examination of relevant documents establish: 1) Whether a GDPR project plan was developed that is used to track the activities required to comply with GDPR. 2) Whether the School has an information governance policy (or equivalent) and whether this has been updated to comply with GDPR. This should include an updated Data Protection Policy and Security Breach Procedure; including scenarios or descriptions of what is considered a breach and that these must be reported internally without delay. 3) Whether HR Practices and Procedures have been reviewed and brought up to date to include the consequences of any breaches (written warning etc.). 4) Are procedures in place for when someone exercises their rights? The main one is being able to request a copy of the info held about them, but it also gives them the right to do things like request that info is corrected or deleted (if inaccurate) 5) How are information security breaches reported and dealt with? 6) Does the School have a document retention policy? (For example Governing Body records should be retained on site for 7 years, personnel records, books of account, child records, etc).			

Ref Key	Control Process	Testing Procedure	Completed by Date	Result
		<p>7) How security of information taken home by teachers (if allowed) is ensured, both electronically and physically.</p> <p>8) Are laptops and USB memory sticks encrypted?</p> <p>9) How are laptops or USBs disposed of?</p>		
7.2.	Data Protection Arrangements			
	To ensure that data held at the establishment is in accordance with the requirements of the Data Protection Registrar, the school should maintain a current entry in the Data Protection Register. This will be evidenced by the issue of a certificate to the school, which will show the dates of the period covered by the registration. https://ico.org.uk/registration/new	Identify whether the Governors have registered the computer data with the Information Commissioner and obtain a copy of the certificate confirming the period to which the cover relates.		
7.3	Roles and Responsibilities			
	The School should have a designated Data Protection Officer (DPO), who is appropriately skilled to do the role, has a route to report directly to senior level and needs to be involved in any important DP issues (breaches etc.). https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/accountability-and-governance/data-protection-officers/	Establish whether the School have a designated Data Protection Officer (DPO). If yes, establish whether the person is appropriately skilled to do the role and has a route to report directly to senior level. Have their main tasks been appropriately set out?		
7.4	Organisational Awareness and Training			
	Guidance should have been provided to staff on the DPA 2018 and UK GDPR requirements. Staff don't need to know the legislation back to front, but should be reminded on a periodic basis of the key factors around keeping info secure (such as locking away sensitive paper files) and knowing who to raise anything with if they think there's an issue/ breach. Checks should be regularly made to ensure compliance	Has guidance been provided to staff on the DPA 2018 and UK GDPR requirements? Are staff reminded on a periodic basis of the key factors around keeping info secure (such as locking away sensitive paper files) and knowing who to raise anything with if they think there's an issue/ breach? Are checks regularly made to ensure compliance?		

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
7.5	Data Documentation, Classification and Management				
Key	<p>An Information Asset Register (IAR) has been created/updated. This details key types of data / information within the School, what it is used for, where it's stored, who it is shared with (if it is), how long it is kept for and how it is protected.</p> <p>This should include:</p> <ul style="list-style-type: none"> a. Paper files b. Emails c. Registers d. Club lists e. Trip records f. Sickness records g. Staff and governor details h. Salaries i. Third party data held or shared 	Obtain evidence that an adequate IAR is in place.			
7.6	Privacy and Consent				
7.6.1	<p>The School has reviewed / created a Privacy Notice. This includes:</p> <ul style="list-style-type: none"> a) The School's name and contact details b) Contact details of the data protection officer c) The right to complain to the ICO d) Why you are processing the personal data and the legal basis for the processing e) Details of any other organisations you may share the data with f) How long the data will be stored for, or the criteria it would be based on (retention schedule etc) 	<p>Has the School created comprehensive Privacy Notices for:</p> <ul style="list-style-type: none"> a) Pupils b) Parents / Carers c) Employees d) Governors <p>(Note: Every time data is collected or a form is filled in there should be a privacy notice – or reference to the Schools general privacy notice – this is not about transparency)</p>			

Ref Key	Control Process	Testing Procedure	Completed by Date Result
	<p>g) Whether they need to provide personal data based on a statutory or contractual requirement,</p> <p>h) That they can withdraw consent at any time</p> <p>i) If there will be any automated decision-making, including profiling, and that they have the right to meaningful information about the logic involved</p> <p>j) Their various rights around their data: the right to request access to a copy, to request that it is rectified or erased, to restrict processing, to object to processing, to receive data in a portable format.</p>		
7.6.2	<p>The school has reviewed the use of consent.</p> <p>GDPR strengthens the rules regarding how to get and record consent. The trust makes it completely clear what individuals are consenting to, their consent must be unambiguous (positively opting-in) and they must be made them aware they can withdraw their consent at any time.</p> <p>NB: this only relates to getting consent to collect, record and use personal data.</p> <p>Where the collection and use of personal data for is linked to statutory responsibilities around education provision or to role as an employer, consent is not required (just why the info is needed).</p> <p>Procedures to manage consents are in place. These include topics such as storage, periodic review, expiry and refresh.</p> <p>The lawful bases for processing are set out in Article 6 of the UK GDPR. At least one of these must apply whenever you process personal data:</p> <p>(a) Consent: the individual has given clear consent for you to process their personal data for a specific purpose.</p> <p>(b) Contract: the processing is necessary for a contract you have with the individual, or because they have asked you to take specific steps before entering into a contract.</p>	<p>Has the School reviewed the use of consent?</p> <p>Are procedures to manage consents in place, including topics such as storage, periodic review, expiry and refresh?</p> <p>(Note: Personal data can only be collected where the School has a lawful basis to do so. The DPA 2018 and UK GDPR provides 5 options, if none are applicable, the School will then need to use consent)</p>	

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
	<p>(c) Legal obligation: the processing is necessary for you to comply with the law (not including contractual obligations).</p> <p>(d) Vital interests: the processing is necessary to protect someone's life.</p> <p>(e) Public task: the processing is necessary for you to perform a task in the public interest or for your official functions, and the task or function has a clear basis in law.</p> <p>(f) Legitimate interests: the processing is necessary for your legitimate interests or the legitimate interests of a third party, unless there is a good reason to protect the individual's personal data which overrides those legitimate interests. (This cannot apply if you are a public authority processing data to perform your official tasks.)</p>				
7.7	<p>Third party contracts</p> <p>Contracts with third parties have been reviewed. For example, school meal caterers, third party IT providers who host or have access to personal data, such as cloud service providers or IT helpdesks, payroll, after school clubs, alternative education (counsellors, play therapists, ASD support) etc.</p> <p>Any contracts with anyone that involves the use of school's personal data (staff info, pupil info etc) should include a data sharing agreement covering responsibilities on complying with GDPR, keeping info secure and confidential etc.</p>	<p>1. Have contracts with third parties been reviewed?</p> <p>2. Do contracts include a data sharing agreement (where applicable) covering responsibilities on complying with GDPR, keeping info secure and confidential etc.?</p>			
7.8	<p>Back up procedures and business continuity plan in place (Q8 SFVS)</p> <p>The Head Teacher should ensure that data is backed up regularly and that all back-ups are securely held (preferably off-site).</p> <p>SFVS Question #8 requires that a business continuity or disaster recovery plan is present and up to date.</p>	<p>1) Establish and document back-up procedures. Confirm that back-ups are held securely.</p> <p>2) Confirm that the school has a business continuity plan that is up to date. Confirm that the Governing Body has approved the plan in the previous 12 months.</p>			

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
7.9	<p>Virus protection</p> <p>The Head Teacher should ensure that systems are in place to safeguard school software and data against computer viruses.</p>	<p>Document the systems that are in place to safeguard school software and data against computer viruses and ransomware.</p>			
7.10	<p>Authorised access</p> <p>Computer systems used for school management should be protected by password security to ensure that only authorised staff have access. Passwords should be changed regularly.</p>	<p>Through discussion establish whether:</p> <p>a) a username and password is required for users to access the system.</p> <p>b) the system prompts users to change passwords on a regular basis.</p> <p>c) users on the system have had their access formally authorised.</p> <p>d) access rights for leavers are disabled.</p> <p>N.b. Generic users such as 'Sysman' or Head Teacher should be disabled.</p>			
7.11	<p>Loans of equipment properly controlled and recorded (Q22 of SFVS)</p> <p>There should be effective controls in place to ensure that the removal of all equipment from the school premises is monitored and logged.</p> <p>Teachers should sign laptops for teachers' forms to verify that they are aware the terms and conditions of use and on returning the laptops these forms should evidence the receipt back into school of the machine.</p> <p>As per Q22 of the SFVS the School should ensure it maintains its premises and other assets to an adequate standard and make best use of capital monies for this purpose.</p>	<p>1) Identify and document the system for approving and recording the loan of equipment (laptops & iPads) and assess whether these procedures are adequate. This should include a process to ensure that returned machines are receipted and records maintained of how machines are reallocated.</p> <p>2) For a sample of items of equipment on loan at the time of the audit test for the following:</p> <p>a) Authorised by an appropriate officer</p> <p>b) Period of loan specified</p> <p>c) Responsibility/liability clearly explained</p> <p>3) Confirm how the School ensures it maintains its premises and other assets to an adequate standard.</p>			

School:	Schools	Period	2021/22	Author	Date
Type:				Reviewed by	Date
Control Area:	Income [8]				

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
8.1	<p>Income via online payment systems</p> <p>The majority of School income is now taken online through online payment applications</p>	<p>Ascertain whether the School uses an on-line payment system for parents to make payments to the school and note what type of payments are made using this system. (Typically this will be school meal income and school trip contributions.)</p> <p>1) Establish how the on-line account is checked and reconciled to the SIMs system and school bank account and assess the appropriateness of this. Invariably, the on-line account will be used to update SIMs. In particular consider:</p> <ul style="list-style-type: none"> • Whether the checks are frequent enough (this will depend on the income value); • How missing income is determined and subsequently followed up. • Is there any form of second or double check (this may be concurrent with the monthly bank reconciliation)? 			
8.2	<p>Income should be receipted and fully documented</p> <p>All income should be adequately receipted and recorded within the accounting records.</p>	<p>1) Note the types of sundry income paid into the bank according to the bank paying-in slip counterfoils.</p> <p>2) Verify that supporting records are being maintained to record the person from whom the income has been received, the date received, the amount and the date the income is banked.</p>			

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
8.3	Safeguarding of income received				
	Cash and cheques should be securely locked away (once accounted for) to safeguard against loss and theft.	Check to confirm that cash and cheques are securely locked away to safeguard against loss and theft.			
8.4	Authorisation of lettings				
	All lettings should be authorised by the Head Teacher within a framework determined by the Governing Body and should be recorded in a register or diary.	<p>Obtain a copy of the school's letting policy and establish whether:</p> <ol style="list-style-type: none"> The policy is up to date and includes a list of current fees and charges, which is reviewed and approved annually by the Governing Body. Test 3 (primary), or 5 (secondary) lets to ensure: <ol style="list-style-type: none"> There is a hirer's agreement; There is an up to date copy of the hirer's public liability insurance or that insurance is charged with the letting fee. For a sample of 3 (primary), or 5 (secondary) lets: <ol style="list-style-type: none"> Ensure that an invoice was issued and that charges are in line with current scale. Issue was within an appropriate timescale of the let - in advance for one off lets; and Note the date of receipt and the date of banking and ensure that banking is being undertaken within a reasonable timescale. Check the sample to bank statements All lettings are authorised by the Head Teacher and documented on booking forms (or equivalent documentation). Note whether the booking forms appropriately indemnify the school. 			
8.5	School meals debts are reviewed and action is taken where appropriate.				

Ref Key	Control Process	Testing Procedure	Completed by Date Result
	<p>School meals are paid for using an online payment system. The School can view each pupil's school meal account and determine the balance on the account.</p> <p>Where pupil meal accounts are in debt the School should take appropriate action to recover the debt.</p> <p>Where negative balances remain on School meal accounts this debt becomes the responsibility of the School.</p>	<p>Obtain a listing of School meals debts for pupils and note the value of the debts.</p> <p>Select 5 pupils with debts on their meal accounts and establish whether there is evidence that the School has taken appropriate action to recover the debt.</p>	

School:	Schools	Period	2021/22	Auditor:	Date
Type:				Reviewed by	Date
Control Area:	Health and Safety [9]				

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
9.1	Health and Safety Compliance Checks undertaken				
	To ensure that adequate health and safety compliance checks have been undertaken by the School and that these are up to date.	Refer to the schedule on page 41 and ask the School to complete the checklist. Verify the checklist completed to supporting documents held by the School.			Please see below for the outcome of the School's Health and Safety Questionnaire.

School:	Period	2021/22	Auditor:	Date
Type:	Schools		Reviewed by	Date
Control Area:	School Fund Accounting [10]			

Ref Key	Control Process	Testing Procedure	Completed by	Date	Result
10.1	<p>Appropriate accounting records maintained for school fund transactions (Q28 SFVS)</p> <p>To ensure that adequate and reliable accounting records are being maintained and that there is an annual review of the accounts as per SFVS Q28.</p>	<p>1) Identify who maintains the school's School Fund Account</p> <p>2) Determine the accounting system used to maintain the School Fund.</p>			
10.2	<p>Annual independent audit review of the accounts(Q8 SFVS)</p> <p>To ensure that adequate and reliable accounting records are being maintained and that there is an annual review of the accounts as per SFVS Q28.</p>	<p>1) Identify and comment whether income and expenditure and fund balance statements have been prepared and audited (obtain copies of statements and the auditor's report/opinion) in the last 12 months.</p> <p>2) Identify and comment on whether the audited statements have been presented to the Governing Body (obtain a copy of the Governing Body Minutes)</p> <p>3) Establish what the fund is used for (school trips, charity collections etc.) and where the fund has a high balance, seek an explanation as to how it was received and how it will be spent.</p>			

THE MANAGEMENT OF BUILDING-RELATED HEALTH & SAFETY IN CROYDON COUNCIL EDUCATIONAL ESTABLISHMENTS

Audit of Building Related H&S

Introduction

The Health & Safety at Work etc Act 1974, its subordinate legislation, The Regulatory Reform (Fire Safety) Order 2005, Control of Asbestos Regulations 2012 and other related legislation, place responsibilities on employers, owners / occupiers of premises, landlords and clients for the correct management of building-related risks. Much of this responsibility is placed on school governing bodies¹.

This document provides guidance on the various responsibilities and duties under current health and safety legislation as they relate to the maintenance, statutory compliance and repair upkeep of school buildings. This enables the Auditor, in this context, to monitor and evaluate progress and compliance.

The tables in this document outline: -

- 1. The key pieces of legislation for building-related health and safety legislation, and*
- 2. The required statutory outcomes to comply with the legislation. For retention of records, refer to Croydon Councils Record Retention Schedules unless otherwise stated in these tables.*

¹ See The Education (School Government)(Terms of Reference)(England) Regulations 2000, R4 and DCSF publication A Guide to the Law for School Governors (April 2009), chapter 16 – Health, Safety & Welfare, paragraph 7

RESPONSIBILITY FOR BUILDING FIRE SAFETY
(London Fire Brigade enforced, not Health & Safety Executive)
Regulatory Reform (Fire Safety) Order 2005. Duty holder is 'Responsible Person'²

No.	Required performance	RAG Status	Yes / No /NA	Comments / Required Corrective Action
1.	Is there a written premises-related fire risk assessment for all the school's buildings?			
2.	All actions identified in the fire risk assessment have been implemented or evidenced as in progress?			
3.	Are the premises-related fire risk assessment(s) reviewed annually or reviewed following any significant change in either operations or the site.			
4.	All fire fighting equipment (fixed & portable) is maintained & records are kept.			
5.	All fire detection equipment is maintained & records are kept (within the prescribed statutory timescale).			
6.	All fire alarm equipment is maintained & records are kept (within the prescribed statutory timescale).			
7.	Emergency evacuation equipment & routes are maintained & maintenance records are kept (within the prescribed statutory timescale).			
8.	Are emergency plans documented & exercised once per term?			
9.	Do staff induction training programmes include fire safety?			
10.	Is there a visitor & contractor induction training that includes fire safety?			
11.	Are other users of the school's building(s) briefed on fire safety, for example, building hirers?			
12.	Are fire wardens in place and suitably trained?			
13.	Where mobility-impaired staff, pupils or visitors are given access to school areas which are above ground level, are there suitable measures provided & maintained for alternative / emergency evacuation (e.g. Evac Chairs).			
14.	Do the school have PEEPs and GEEPs in place (linked to Question 13).			

² 'Responsible Person' is the employer, if the workplace is to any extent under his control; in relation to any premises not falling within this category, it is the person who has control of the premises (as occupier or otherwise) in connection with the carrying on by him of a trade, business or other undertaking; or the owner, where the person in control of the premises does not have control in connection with the carrying on by that person of a trade, business or other undertaking.

RESPONSIBILITY FOR PROCESS FIRE SAFETY
 (Health & Safety Executive enforced, not London Fire Brigade)
 Dangerous Substances & Explosive Atmospheres Regulations 2002. Duty holder is 'Employer'

No.	Required Performance	RAG Status	Yes / No/NA	Comments / Required Corrective Action
15.	Does the premises processes that use 'dangerous substances' or that produce 'explosive atmospheres' have a risk assessment undertaken for each process?			
16.	All actions identified in the risk assessments have been implemented?			
17.	Are these risk assessments are reviewed annually?			
18.	Are any emergency procedures arising from the risk assessments been exercised?			
19.	Have all relevant staff have been trained in the emergency procedures?			
20.	Where relevant, is information is provided to visitors & contractors?			
21.	Do pipes & containers containing 'dangerous substances' been clearly labelled / colour coded?			
22.	Is there suitable liaison between other 'users' of school buildings, regarding the use of 'dangerous substances'?			

RESPONSIBILITY FOR MANAGEMENT OF ASBESTOS-CONTAINING MATERIALS

Control of Asbestos Regulations 2006, Regulation 4 applies. Dutyholder is 'person who maintains the premises'³

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
23.	Is there an on-site management plan and asbestos register in place for each of the school buildings are is available for inspection by contractors (pre-2000 buildings only)?			
24.	Are the regular monitoring duties highlighted in the management plan and asbestos register being undertaken & recorded with records kept in the plan?			
25.	Are staff, visitors & contractors who could disturb asbestos shown the asbestos register and with evidence of signatures in the log?			
26.	Have all relevant staff undertaken suitable asbestos awareness training?			

³ The 'person who maintains the premises' means the person who has, because of contract or tenancy, an obligation of any extent for the maintenance or repair of non-domestic premises; or where there is no such contract or tenancy, the person who has control of that part of those premises, & where there is more than one such dutyholder, the relative contribution to be made by each in complying with the regulation will be determined by the nature & extent of the maintenance & repair obligation owed by that person.

RESPONSIBILITY FOR WATER SYSTEM MANAGEMENT

1. Legionella - Control of Substances Hazardous to Health Regulations 2002, Regulations 6 to 13. Duty holder is 'Employer'. HSE's ACoP L8 provides options in leased premises
2. Swimming pools – HSE's HSG 179 Health & Safety in swimming pools. Duty holder is 'staff who own or operate a swimming pool'

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
27.	Are water quality log books including all risk assessments held and in place for all school buildings / systems?			
28.	Is there water system maintenance carried out according to each water quality log book & records kept?			
29.	Are water temperature monitoring, descaling and flushing carried out according to each water quality log book & records kept?			
30.	Are all school staff trained in any task they are required to perform according to each water quality log book?			
31.	All actions identified in the risk assessment have been implemented or are in progress?			

RESPONSIBILITY FOR SELF MANAGED CONSTRUCTION WORK
Construction (Design & Management) Regulations 2015. Duty holder is 'Client'

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
32.	Do the school's management use the LBC Facilities Management SLA consultants & contractors, or			
33.	Do the school's management assess the competence of their consultants & contractors by another means? And how?			
34.	Do the school's management understand and apply the CDM Regulations to all 'construction' work. Construction work is defined and can cover very simple maintenance work.			
35.	Do the school's management always obtain all construction phase H&S plans before any work commences? And how is this evidenced?			
36.	Do the school's management always hold regular meetings with consultants and contractors during the construction phase of projects and issue meeting notes or minutes?			

RESPONSIBILITY FOR MANAGEMENT OF CONTRACTORS IN OCCUPIED PREMISES⁴
 Management of Health & Safety at Work Regulations 1999, Regulations 11 & 12. Duty holder is 'Employer'

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
37.	Do the school's management provide suitable induction training to all contractors who enter & work on school premises?			
38.	Do the school's management actively monitor their contractors' activities whilst working on school premises? And how?			

⁴ 'Occupied premises' - those where employer's staff, customers & the public have access, as distinct from a separate fenced-off building site.

RESPONSIBILITY FOR WORKPLACE MANAGEMENT
 Workplace (Health, Safety & Welfare) Regulations 1992. Duty holder is 'Employer'

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
39.	Do the school management carry out risk assessments on the state of premises (buildings & land) & keeps records of this?			
40.	Do the school's management have a Glazing risk assessment?			
41.	All actions identified in the glazing risk assessment have been implemented or are in progress?			
42.	Do the school management actively maintains (e.g. repair/replace/clean etc) its premises' fabric / structure & mechanical / electrical systems?			
43.	Do the school's management have a Traffic Management Plan?			
44.	Do the school's management have a risk assessment for any external powered vehicle or pedestrian gates?			
45.	All actions identified in the powered gates risk assessment have been implemented or are in progress?			

RESPONSIBILITY FOR MAINTENANCE OF ELECTRICAL SUPPLIES & APPLIANCES

Electricity at Work Regulations 1989, Regulation 4. Duty holder is 'Employer'⁵

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
46.	Do the school's management have all of its electricity supplies examined & tested at least every 5 years?			
47.	Are all records of electrical supply examinations & tests are kept by the school?			
48.	All actions identified in the electrical Tests & Inspections implemented or are in progress?			
49.	Do the school management maintain a register of all its portable electrical appliances?			
50.	Are all the electrical appliances are examined & tested (PAT) according to a scheme of examination?			
51.	Are records of portable electrical appliance examinations & tests are kept by the school?			

⁵ The duty of the 'Employer' extends to employees & any other person, whether at work or not, who may be affected by the work being carried out.

RESPONSIBILITY FOR MAINTENANCE & USE OF WORK EQUIPMENT⁶
 Provision & Use of Work Equipment Regulations 1998. Duty holder is 'Employer'

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
52.	Do the school's management have copies of operating manuals for all the 'work equipment' used in the school?			
53.	Do the school's management ensure that required maintenance, inspection, examination or testing of 'work equipment' is undertaken on all the 'work equipment' used in the school?			
54.	Do the school/s management keep records of maintenance, inspection, examination or testing of 'work equipment'?			
55.	Where required, do the school register certain 'work equipment' with the Council's insurers?			

⁶ Work equipment could be anything, examples include woodworking machinery, metal working machinery

RESPONSIBILITY FOR GAS APPLIANCE MAINTENANCE
 Gas (Installation & Use) Regulations 1998. Duty holders are 'Employer' & 'Landlord'⁷

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
56.	Do the school's management have copies of manufacturer's instructions for all of the gas appliances that it owns?			
57.	Do the school management have all its gas appliances, pipework & flues maintained in a safe condition annually?			
58.	All actions identified in any inspections implemented or are in progress?			
59.	Are records of maintenance are kept by the school for at least 2 years?			

⁷ 'Landlord' means, where the premises are occupied under a lease, the person entitled to the reversion expectant on that lease or who would be entitled to possession of the premises; and where the premises are occupied under a licence, the licensor, except where the licensor is himself a tenant.

RESPONSIBILITY FOR COSHH CONTROL MEASURES' MAINTENANCE

Control of Substances Hazardous to Health Regulations 2002 (as amended). Duty holder is 'Employer'

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
60.	Is local exhaust ventilation, fume cupboards, soldering iron extraction etc, maintained, examined & tested every 14 months by a competent person?		N/A	
61.	Are records of this maintenance, examination & testing are kept by the school for at least 5 years?		N/A	
62.	All actions identified in the examination tests & Inspections implemented or are in progress?		N/A	
63.	Have all COSHH Assessments been carried for all relevant substances?		N/A	

RESPONSIBILITY FOR PRESSURE SYSTEM MAINTENANCE
 Pressure Systems Safety Regulations 2000. Duty holder is 'the user of an installed system', i.e. 'user'

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
64.	Do the school's management have schemes of examinations for all of its pressure systems?			
65.	The school has all of its pressure systems maintained according to the scheme of examination, & keeps records of this			
66.	The school has documented operating instructions & emergency procedures available for all of its pressure systems			
67.	All actions identified in the Scheme of Examinations & Inspections implemented or are in progress?		N/A	

RESPONSIBILITY FOR WORK AT HEIGHT EQUIPMENT
Work at Height Regulations 2005. Duty holder is 'Employer'

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
68.	Do the school's management maintain a register for all equipment provided for working at height?		N/A	
69.	Is there is an inspection regime for all equipment provided for working at height?		N/A	
70.	Are the records are kept by the school, of inspections for at least 3 months?		N/A	
71.	All actions identified in the inspections implemented or are in progress?		N/A	

RESPONSIBILITY FOR LIFTING EQUIPMENT
Lifting Operations & Lifting Equipment Regulations 1998. Duty holder is 'Employer'

No.	Required performance	RAG Status	Yes / No/NA	Comments / Required Corrective Action
72.	Do the school's management maintain a register of all its lifting equipment?		N/A	
73.	Is each item of lifting equipment is uniquely identifiable?		N/A	
74.	Does each item of lifting equipment have & is subject to a Written Scheme of Examination?		N/A	
75.	Are the records of examinations kept by the school for 2 years for accessories, life of equipment for non-accessories & 2 years for defect reports?		N/A	
76.	Where required, the school has registered certain 'lifting equipment' with the Council's insurers		N/A	
77.	All actions identified in the Scheme of Examination & Inspections implemented or are in progress?		N/A	

RESPONSIBILITY FOR MANAGEMENT OF CONFINED SPACES⁸
 Confined Spaces Regulations 1997. Duty holder is 'Employer'

No.	Required performance	RAG Status	Yes / No / NA	Comments / Required Corrective Action
78.	Do the school's management keep a register of any confined spaces on its premises?		N/A	
79.	Do the school's management have a documented suitable risk assessments & safe work & emergency procedures for entry into any known confined spaces, or		N/A	
80.	The school's management requires contractors to undertake risk assessments & produce safe work & emergency procedures for entry into any known confined spaces		N/A	

⁸ Confined space - A place (e.g. tank, pit) that people must enter to undertake work, which is substantially, although not always entirely, enclosed; a place where there is a reasonably foreseeable risk of serious harm from hazardous substances or conditions within the space or nearby, e.g. toxic or oxygen deficient atmosphere

Table 1 - List of 'work equipment' requiring regular planned inspection under the Provision & Use of Work Equipment Regulations 1998

1. This Table has been compiled by the LBC Health & Safety Team and is based on the recommendations of The Safety Assessment Federation (SAFed).
2. The periodicities are only indicative; legislation, British / European Standards, manufacturers recommendations or the risks imposed by work equipment and its performance may override those listed.
3. The table is non-exhaustive. It indicates where the inherent risks from the installation or use of the work equipment would normally be such to warrant inspection by an independent competent person (INS), where inspection by an appropriately trained and qualified person would normally be adequate and where normally only the result of a risk assessment would be able to determine which of the two inspection routes is appropriate (Either).
4. The examples given below are indicative only and will not describe fully all work equipment used by the school; there may be derivatives of these or similar machines that are used by the school.

Note 1: Portable Electrical Equipment is not included in this list but should be dealt with separately.

Note 2: This list includes some work at height equipment.

EQUIPMENT REQUIRING PERIODIC INSPECTION	RECOMMENDED MAXIMUM PERIODICITY (Months)	INSURANCE ENGINEER (INS) OR TRAINED SCHOOL STAFF OR CONTRACTOR (SCHOOL)?
Adjustable Chairs / Tables	12	School
Agricultural machinery, equipment & attachments	12	Either
Air Conditioning Units	12	School
Automatic / revolving doors	12	School
Axle stands / supports	12	INS
Band saws	12	Either
Bending / folding machine	12	School
Brazing hearths	12	Either
Bridges, walkways & gangways	6	INS
Camera boom	12	School
Circular saws	12	Either
Cold stores, Chillers, Freezers	12	School
Conveyors – passenger & goods	6 & 12	Either
Casting equipment	12	Either
Dock Leveller	12	INS
Doors - Sliding	12	School
Dough Mixer	12	School
Drilling Machines	12	School
Escalators	6	INS
Electrical Isolation Equipment	12	INS
Eyebolts for fall arrest, e.g. window cleaning	6	INS

Fall Arrester/Retractable Lifeline	6	INS
Fire Doors & Fire Curtains	12	INS

EQUIPMENT REQUIRING PERIODIC INSPECTION	RECOMMENDED MAXIMUM PERIODICITY (Months)	INSURANCE ENGINEER (INS) OR TRAINED SCHOOL STAFF OR CONTRACTOR (SCHOOL)?
Flying Shear Press	12	INS
Food Processing Equipment	12	School
Food Slicers	12	School
Forges	12	Either
Grinding Machines	12	School
Guards (moveable & fixed) & Safety Devices	6 & 12	INS
Guillotine (moveable & fixed guarding)	6 & 12	INS
Gymnasium equipment	6 & 12	INS
Hand Tools, e.g. Hammers, Chisels, Knives, Spanners, Forks / Spades, Screwdrivers, Files, Drills & Bits, Planes, Nail guns, etc	12	School
Harness with lanyard (inc. Safety Belts)	6	INS
Hydraulic Presses	12	INS
Ladders / Stepladders or similar	12	School
Lathe	12	School
Laser cutting machines	12	Either
Lighting Rigs	12	Either
Looms	12	School
Manual Office Equipment	12	School
Manual Press	12	INS
Masts	12	INS
Measuring Equipment Supports, e.g. Theodolite	12	School
Milling Machine	12	School
Mixing Machinery	12	Either
Office equipment, e.g. Guillotine, Scissors, Knives, Stapling Machines, Binding Machines, Photo-Copiers, Personal Computers, Fax Machines, Printers, Plastic Film Sealers	12	School
Pallet Racking	12	INS
Pallet Trucks	12	Either
Paper Shredding Machine	12	School
Perimeter Guarding		INS
Pipe Cutting Machine	12	School
Planer / thicknesser	12	Either
Portable Platforms / Staging (See also Work at Height Regulations)	6	School
Pneumatic & Hydraulic Presses / Press Brake (moveable & fixed guarding)	6 & 12	INS
Pneumatic Tools & pipelines, e.g. Drills, Grinders, etc	12	School
Polishing Machine	12	School
Power Press used for 'Non Metals' (moveable & fixed guarding)	6 & 12	School
Printing Machinery	12	Either
Pumps	12	School
Racking, Warehouse Stillages	12	INS
Ramps	12	INS
Refrigeration Equipment	12	School
Robotic Systems	12	Either
Rolling Machines	12	INS

EQUIPMENT REQUIRING PERIODIC INSPECTION	RECOMMENDED MAXIMUM PERIODICITY (Months)	INSURANCE ENGINEER (INS) OR TRAINED SCHOOL STAFF OR CONTRACTOR (SCHOOL)?
Rotary Bakers Oven	12	School
Safety Harness etc (If not adopted under LOLER)	6	INS
Saws for metal, wood etc.	12	School
Scraper	12	School
Service Gate	12	Either
Shearing Machine	12	INS
Slicing Machines	12	INS
Sound System / Special Effects Equipment / Microphone Stands / Mounts (may require more frequent inspection if hazardous to performers or public)	12	School
Spot Welding Machine, c/w Hydraulic Clamping	12	School
Spraying Equipment	12	School
Stage Equipment (see also LOLER)	12	School
Towed Mobile Equipment	12	Either
Tractors	12	INS
Trolleys, Sack Barrows	12	School
Waste Compactors	12	INS
Waste Disposal Units	12	School
Waste Skips	12	School
Weighbridge	12	School

Table 2 - List of 'lifting equipment' requiring regular planned statutory examination under the Lifting Operations & Lifting Equipment Regulations 1998

1. This Table has been compiled by the LBC Health & Safety Team and is based on the recommendations of The Safety Assessment Federation (SAFed).
2. The examinations should be undertaken by the Council's insurance company who will draw up a Written Scheme of Examination for each identified item of lifting equipment.
3. The periodicities given in the Table are only indicative and will be overridden if the 'Written Scheme Of Examination' compiled by the insurance company requires it.
4. The table is non-exhaustive.
5. The examples given below are indicative only; there may be derivatives of these or similar lifting equipment that is used by the school.

Note: This list includes some work at height equipment.

MAIN ITEM	EXAMPLES	EXAMINATION PERIODICITY (Months)
Cranes	Overhead Cranes	12
Lifts (Elevator)	Materials / Goods Lift	12
	Passenger Lift	6
Hoists & Lifts	Goods / Materials Hoists	12
	Home Lift	6
	Scissor Lift	6
	Stair Lift	6
	Teagle Hoist	12
	Patient Hoist	6
	Dumb waiter	12
Winches & Capstans	None known about that are owned and operated by LBC	
Sheer Legs	None known about that are owned and operated by LBC	
Blocks	Rope	12
	Hoist	12
	Manual	12
	Powered	12
	Pulley	12
	Snatch	12
	Chain	12
	Ratchet	12
	Gin Wheel	12
	Hook Hoist	12

MAIN ITEM	EXAMPLES	EXAMINATION PERIODICITY (Months)
Safety & Rescue Equipment for Supporting, Raising & Lowering People	Bosun's Chair	6
	Fall Arrestor / Retractable Line	6
	Harness & lanyard	6
	Safety Belts	6
Miscellaneous Items Provided for the Support of Lifting Gantry Equipment	Anchorage / Suspension Point	12
	Tracks	12
	'A' Frame	12
	Overhead Gantry	12
	Davits	12
	Gantry	12
	Jib Arms	12
	Overhead Crane Bridges	12
	Runway Tracks & Beams	12
	Trolleys	12
Lifting Accessories	Eyebolts	6
	Fork Lift Truck Attachments	6
	Girder Clips	6
	Grabs	6
	Hooks	6
	Lifting Beams / Frames	6
	Lifting Lugs / Bar / Plate / Arm	6
	Magnets	6
	Plate Clips	6
	Rigging Screws	6
	Running out Block / Pole Carrier	6
	Shackles	6
	Slings	6
	Vacuum Lifting Devices	6
Suspended Access Equipment	Suspended Access Equipment	6
	Window Cleaning Rig	6
Work Platforms	Work Platforms	6
Tailboard Hoist / Lift	Tailboard Hoist / Lift	6 / 12
Jacks	Trolley Jacks	12
Vehicle Lifts	Vehicle Lifts / Hoists	6
Fork Lift Truck	Fork Lift Truck	6 / 12
Pallet Truck	Pallet (Lift) Truck (Manual & Powered)	12
Telescopic Load Handler	Telescopic Load Handler	6 / 12
Lighting Mast	Aerial Mast	12
	Lighting Rigs Where Lifting is Involved	12

MAIN ITEM	EXAMPLES	EXAMINATION PERIODICITY (Months)
Stage Equipment	Stage Equipment Hoist (Utilities, Scenery, Stages)	6 / 12
Gymnasium Equipment	Gymnasium Equipment Used at Work	12
Miscellaneous Items	Service Gates	12

Table 3 - List of 'engineering controls' requiring regular planned statutory examination under the Control of Substances Hazardous to Health Regulations 2002 (as amended)

1. This Table has been compiled by the LBC Health & Safety Team and is based on current knowledge.
2. The examinations should be undertaken by the Council's insurance company who will draw up a Written Scheme of Examination for each identified engineering control.
3. The periodicities given in the Table are only indicative and will be overridden if the 'Written Scheme Of Examination' compiled by the insurance company requires it.
4. The table is non-exhaustive.
5. The examples given below are indicative only; there may be derivatives of these or similar engineering controls that are used by the school.

EXAMPLES	EXAMINATION PERIODICITY (Months)
Hazardous Substance Local Exhaust Ventilation (LEV)	14
Wood dust LEV	14
Hot metal treatment fume extraction	14
Fume Cupboards	14
Soldering iron extraction	14

Table 4 - List of 'pressure systems' requiring regular planned statutory examination under the Pressure Systems Safety Regulations 2000

1. This Table has been compiled by the LBC Health & Safety Team and is based on current knowledge.
2. The examinations should be undertaken by the Council's insurance company who will draw up a Written Scheme of Examination for each identified pressure system.
3. The periodicities are decided by the 'Written Scheme Of Examination' compiled by the insurance company.
4. The table is non-exhaustive.
5. The examples given below are indicative only; there may be derivatives of these or similar pressure systems that are used by the school.

EXAMPLES	EXAMINATION PERIODICITY (Months)
Air Pressure Systems	To be assessed
Other gas systems, e.g hydrogen, carbon dioxide	
Autoclaves	
Pressure Cookers	
Model Steam Engines	
Fire Drench Systems	
Gas Welding / Burning Systems	
LPG Systems	

