SCHOOL

POLICIES/DOCUMENTS REQUESTED IN ADVANCE

BY EMAIL WHEREVER POSSIBLE

| Section | DOCUMENTS |
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| **1** | **Governance and Leadership** |
| 1.1.1 | All Governing Body minutes for 2016/17 & 2017/18 (where available) (ONE YEAR) |
| 1.1.2 | Governor Induction Pack – List of Contents Page |
| 1.1.2 | Governors Induction Pack Contents |
| 1.1.3 | Terms of Reference of Finance Committee |
| 1.1.3 | GB Minutes approving the Finance Committee’s Terms of Reference (within the last 12 months). |
| 1.1.3 | Finance Committee minutes for 2016/17 & 2017/18(where available) (ONE YEAR) |
| 1.1.4 | School’s delegation of authorisation levels (& GB Minutes approving) |
| 1.1.5 | School’s Financial Policies & Procedures Manual (& GB Minutes approving) |
| 1.2.1 | List of current Governors |
| 1.2.1 | Register of pecuniary interests & signed forms for governors. |
| 1.2.1 | Register of pecuniary interests and signed forms for staff with financial responsibilities & signed forms. |
| 1.2.2 | SFVS & evidence that it was submitted to Croydon Council by 31/3/17. |
| 1.2.2 | GB Minutes discussing & approving the 2017 SFVS. |
| 1.2.3 | Last Audit report. |
| 1.2.3 | GB Minutes discussing the last audit report. |
| 1.2.4 | Whistleblowing Policy (& details of how staff are made aware of it). |
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| **2** | **Budgetary Control & Monitoring** |
| 2.1.1 | Detailed working papers for the school’s 2017/18 budget |
| 2.1.1 | If there is a prior year deficit, plan to eliminate it and approval from the LA. |
| 2.1.1 | Signed Budget for 2017/18 |
| 2.1.1 | GB Minutes approving the 2017/18 budget |
| 2.1.1 | Email submitting 2017/18 budget to Croydon Council. |
| 2.1.1 | Three Year Budget Plan (using the best available information) |
| 2.1.2 | SIMS Chart of Accounts Review - Cost Centre Report for 2017/18 |
| 2.1.2 | A SIMS report listing the total expenditure budget for 2017/18. |
| 2.2.1 | Financial skills assessment/evaluation matrices for Governors and Finance Committee Governors |
| 2.2.1 | Financial skills assessment/evaluation matrices for staff with financial responsibilities. |
| 2.2.2 | Quarterly budget monitoring reports for 2016/17 & 2017/18 |
| 2.2.2 | Quarterly budget monitoring reports for 2016/17 & 2017/18 |
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| **3** | **Payroll** |
| 3.1.1 | Staffing Structure |
| 3.1.1 | GB minutes discussing & approving the staffing structure |
| 3.1.1 | From SIMS a list of all current staff with their LGFL email addressesi |
| 3.1.1 | Monthly payroll reports for 2016/17 & 2017/18 |
| 3.2.1 | List of starters since 1 April 2016 (I need at least three.). |
| 3.2.2 | List of leavers since 1 April 2016 (I need at least three.) |
| 3.3.1 | Pay Policy (&GB Minutes approving the Pay Policy) |
| 3.3.2 | Pay Policy/Appraisal Policy including the process for appraising the Headteacher. |
| 3.3.2 | The Headteacher’s annual appraisal and results and details including any pay increase |
| 3.3.2 | Details of the school’s leadership group pay scale |
| 3.3.2 | If the Headteacher’s payexceeds the leadership group, confirmation that the GB has decided it is justifiable |
| 3.3.4 | DBS single central registerfor staff & governors (without personal data, e.g. addresses, date of birth. Names are not personal data.) |
| **4** | **Safeguarding** |
| 4.1.1 | Annual safeguarding self-assessment and submit this to the Council in September each year |
| 4.1.1 | Evidence that the annual safeguarding self-assessment was submitted to the Council in September 2016. |
| 4.1.1 | List of names of Designated Safeguarding Lead (DSL), a nominated deputy and  designated safeguarding Governor. |
| 4.1.1 | Evidence that list of names above is displayed on the school website. |
| 4.1.1 | Staff induction pack containing:- |
| 4.1.1 | The Child Protection Policy. |
| 4.1.1 | The Child Protection Policy – also published on the School’s website. |
| 4.1.1 | The Staff Behaviour Policy (or code of conduct) |
| 4.1.1 | The role of the Designated Safeguarding Lead (DSL). |
| 4.1.1 | Evidence of appropriate safeguarding training for staff. |
| 4.1.1 | Evidence of annual safeguarding and child protection updates for staff. |
| 4.1.1 | Evidence of staff awareness of the referrals process for children. |
| 4.1.1 | Evidence of staff awareness of the referrals process for adults. |
| 4.2.1 | Evidence that the school has an Admissions Register. |
| 4.2.1 | Evidence that the school has an Attendance Register. |
| 4.2.1 | School’s procedure for informing the LA when a pupil’s attendance is irregular or when a pupil has been absent for more than 10 continuous days. |
| 4.2.1 | Evidence that the school informs the LA when it is going to delete a pupil’s name from its register. (Except when a pupil has completed the final year at the school.) |
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| **5** | **Procurement** |
| 5.1.1 | SIMS Bank History Report for 2016/17 detailing all transactions (cheque payments) since 1 April 2016. (Preferably one payment per row.) Also for 2016/17 to date In Excel |
| 5.1.6 | List of staff authorised to sign invoices for payment |
| 5.2.1 | Where appropriate quotations and/or tender reports |
| 5.4.1 | Annual benchmarking report. (See SFVS.) |
| 5.4.1 | GB Minutes discussing the benchmarking report |
| 5.5.1 | From SIMS a list of petty cash expenditure for 2016/17 & 2017/18. |
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| **6** | **Bank Accounts** |
| 6.1.2 | One year’s signed monthly bank reconciliations (hard copies when I visit) |
| 6.1.2 | Last monthly bank reconciliation (with bank statement & list of unreconciled items) |
| 6.1.2 | Bank statements (hard copies when I visit) |
| 6.1.3 | Cashflow Forecasting report/s. |
| 6.1.4 | Bank mandate form listing main bank account authorised signatories. (Confirmed actioned by the Bank.) |
| 6.1.5 | GB Minutes approving the use of procurement card/s. |
| 6.1.5 | Signed agreement/s for procurement card/s |
| 6.1.6 | Latest monthly reconciliation/s for procurement card/s |
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| **7** | **Information Governance** |
| 7.1.1 | Data Protection & Information Management Policy (GB Minutes approving it.) |
| 7.1.1 | Documents Retention Policy. (GB Minutes approving it.) |
| 7.2.1 | Data Protection registration certificate. |
| 7.2.1 | From SIMS a list of staff with their LGFL email addressesi |
| 7.2.2 | Acceptable Use policy (IT & Email) |
| 7.3.1 | Business Continuity Plan |
| 7.3.3 | From SIMS a list of all current staff with their LGFL email addressesi |
| 7.4.1 | Laptop/ipad loan forms authorised (for current loans) |
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| **8** | **Income** |
| 8.1.2 | List of income bankings (paying-in-slips) |
| 8.1.2 | Supporting records for 8.1.2 |
| 8.2.2 | Lettings Policy |
| 8.2.2 | GB Minutes approving the Lettings Policy |
| 8.2.2 | From SIMS a record of lettings income received for the last three months. |
| 8.2.2 | Sample signed authorised letting form |
| 8.2.3 | A list of school meal debts owed by pupils. |
| 8.2.3 | A list of school meal debts owed by staff |
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| **9** | **Health and Safety** |
| 9.1.1 | A copy of the following certificates (supplied to the LA) |
| 9.1.1 | Legionella Risk Assessment |
| 9.1.1 | Fire Alarm Certificate |
| 9.1.1 | NICEIC Electrical Periodic Inspection Test Certificates |
| 9.1.1 | NICEIC Emergency Lighting Test Certificates |
| 9.1.1 | Gas Certificate |
| 9.1.1 | Asbestos Survey |
| 9.1.1 | Fire Risk Assessment. |
| 9.1.2 | Health and Safety Policy and GB minutes approving it |
| 9.1.3 | Accident Book |
| 9.2.1 | 5 year maintenance plan that outlines the maintenance requirements of the school. |
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| **10** | **School Fund** |
| 10.1.1 | School Fund closing bank statement |
| 10.2.1 | An audited copy of the latest receipts and payments statement for the School Fund. |
| 10.2.1 | GB Minutes accepting the Auditor’s report of the School Fund account. |
| 10.2.1 | Details of what the fund is used for |

I will examine a rolling financial year (i.e. starting 12 months before the date of the audit visit)

Ideally, I like scanned documents in advance, please.

As I do not normally work on a Friday, please email them to me (at the latest) by the Thursday of the week before my visit. Thank you.