Governance, Risk and Best Value Committee

10.00am, Thursday 21 April 2016

Schools Assurance Framework Pilot

Item number	7.5
Report number	
Executive/routine	
Wards	

Executive summary

The Schools Assurance Framework, launched as a pilot in 2015/16, combines a Local Assurance Statement completed by the Head Teacher of each school with a programme of 15 school visits undertaken by a combined Internal Audit and Corporate Health & Safety team.

This report outlines the key themes emerging from the school visits and also our recommendations to facilitate improvement in schools' control environments.

Links

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Report

Schools Assurance Framework Pilot

Recommendations

1.1 It is recommended that the Committee notes this report.

Background

2.1 The Schools Assurance Framework launched as a pilot in 2015/16. It combines a Local Assurance Statement completed by the Head Teacher of each school and a programme of 15 school visits undertaken by a combined Internal Audit and Corporate Health & Safety team.

2.2 The 15 Schools visited were:

Secondary Schools	Primary Schools	Special Schools
Balerno	Broughton	Panmure
Castlebrae	Bun-Sgoil Taobh na Pairce	Redhall
Craigmount	Dalry	
Liberton	James Gillespie's	
Royal High	St Peter's	
Trinity Academy	Sciennes	
South Queensferry		

Main report

Approach

3.1 The combined Internal Audit/Health & Safety team reviewed the controls in place at each school visited using a standard validation checklist which covered 8 different areas:

Finance	Workforce controls
Health & Safety	Property & Statutory requirements
Resilience	Information Security
Child Protection	Communication of 'Risk Matters' bulletin

3.2   The validation checklist contained a breakdown of all processes and controls that would be expected for each of the 8 areas. The combined Internal Audit/Health & Safety team used a simple Red, Amber, Green (RAG) scale to grade the operation of each process or control to establish an overall RAG grading for each area.

3.3   The validation checklist was compiled using the Council's set procedures for schools and in consultation with members of the Communities & Families, Corporate Health & Safety, Corporate Property, Corporate Risk, Information Governance and Finance teams.

Reporting of results

3.4   Each school received an individually tailored report that highlighted good practice in each of the areas looked at by the combined Internal Audit/Health and Safety team and identified improvements required. Each school was invited to prepare an action plan to address the areas identified for improvement. Where we were unsatisfied with the responses received from an individual school, a member of the combined team returned to help the school improve its action plan. We revisited seven schools on this basis.

3.5   To supplement the individual school reports we prepared an overall report for Communities and Families analysing the results of the school visits, identifying the key themes that emerged and making recommendations as to how Communities and Families as a Directorate can assist schools in making improvements to their control environments. This overall report is attached as Appendix 1.

Going forward

3.6   Following completion of the visits Internal Audit consulted with all the stakeholders to establish their view as to the value of the exercise and whether it was worth repeating. This feedback, while identifying some potential enhancements, was overwhelmingly positive and accordingly it is our intention to continue with the process and visit 15 different establishments next year.

3.7   We have used the experience gained from the 2015/16 cycle and the feedback that we received both from individual schools and from other stakeholders to review and strengthen the validation checklist for 2016/17. In particular we intend to strengthen our checklist in the areas of ICT and Records Management and expand it to include Equalities and Facilities Management.

3.8   We also intend to broaden the range of the assurance programme to include Early Years Centres, Residential Schools and Community & Education Centres amongst the 15 establishments that we will visit in 2016/17.

Measures of success

4.1   A strengthened governance framework and control environment in schools.

Financial impact

5.1   No direct financial impact.

Risk, policy, compliance and governance impact

6.1   The findings of the work performed by the combined Internal Audit and Corporate Health & Safety teams will be incorporated into the Communities & Families Annual Assurance process.

Equalities impact

7.1   There are no adverse equalities impacts arising from this report.

Sustainability impact

8.1   There are no adverse sustainability impacts arising from this report.

Consultation and engagement

9.1   The Internal Audit team consulted with representatives from the Communities & Families, Corporate Health & Safety, Corporate Property, Corporate Risk, Information Governance and Finance teams during the development and implementation of this process.

Background reading / external references

None.

Magnus Aitken

Chief Internal Auditor

E-mail: magnus.aitken@edinburgh.gov.uk | Tel: 0131 469 3143

Links

Coalition pledges

Council outcomes	
Single Outcome Agreement	
Appendices	Appendix 1 – Schools Assurance Framework Pilot – Thematic Report

The City of Edinburgh Council
Internal Audit

Schools Assurance Framework Pilot

Final Report

February 2015

Contents

Executive summary

The Schools Assurance Framework launched as a pilot in 2015/16. It combines a Local Assurance Statement completed by the head teacher of each school, with a programme of schools visits by Internal Audit and Health and Safety.

Administration is devolved to schools in the Edinburgh area, and schools are responsible for developing satisfactory processes to implement corporate policies and manage areas of risk. The Assurance Framework was instigated after concerns were raised about financial management following overspends in a number of schools. In its first year the project covered:

- finance;
- workforce controls (training, performance and absence management);
- health and safety;
- property and statutory controls;
- resilience;
- child protection;
- information security; and
- communication of risk bulletins.

Internal Audit and Corporate Health and Safety visited 15 schools to assess the internal controls and processes in place. Each school was provided with a report and action plan following the visit to help them improve their processes. This report summarises common themes arising from our audit visits and highlights areas where schools would benefit from additional support and guidance from the corporate Communities and Families team.

The detailed management information gathered from audit visits and schools' self assessments was welcomed by schools, Finance, and Communities and Families. It is proposed that the Local Annual Assurance Statement will now be embedded in the Communities and Families governance arrangements and extended to include community centres, residential schools and early years centres as well as primary, secondary and special schools. Internal Audit and Corporate Health and Safety will continue to visit 15 units each year to assess the controls in place and validate responses to the Local Annual Assurance Statement.

Background

The Schools Assurance Framework is a new initiative for 2015/16, designed to inform and support the Director of Communities and Families' annual assurance statement and enhance the Communities and Families control framework.

As part of this Framework, Internal Audit and the Corporate Health and Safety visited 15 schools to assess the internal controls in place over:

- finance;
- workforce (training, performance and absence management);
- health and safety;
- property and statutory controls;
- resilience;
- child protection; and
- information security.

The assurance checklist used by Internal Audit and Corporate Health and Safety is attached in **Appendix 1**.

Note that the structural condition surveys for properties were not considered as part of the H&S audits.

The findings were discussed with the head teacher and business manager at the close of each audit visit. Each school was provided with an action plan to help them develop and improve their controls and processes.

The 15 schools selected for audit were:

Secondary Schools	Primary Schools	Special Schools
Balerno	Broughton	Panmure
Castlebrae	Bun Sgoil Taobh na Pairce	Redhall
Craigmount	Dalry	
Liberton	James Gillespie's	
Royal High	Sciennes	
Trinity Academy	St Peter's RC	
Queensferry		

The assurance work conducted by Internal Audit and Corporate Health and Safety supplements the Local Annual Assurance Statement which all head teachers have been asked to complete this year. Head teachers were asked to confirm the controls in place and to highlight any areas of risk which they felt were not managed effectively.

Head teachers at five of the 15 schools visited had returned their assurance statement before the audit visit. A comparison of their responses to the self-assessment questionnaire with the results of audit work is attached in **Appendix 2**.

Findings

A: Financial Controls
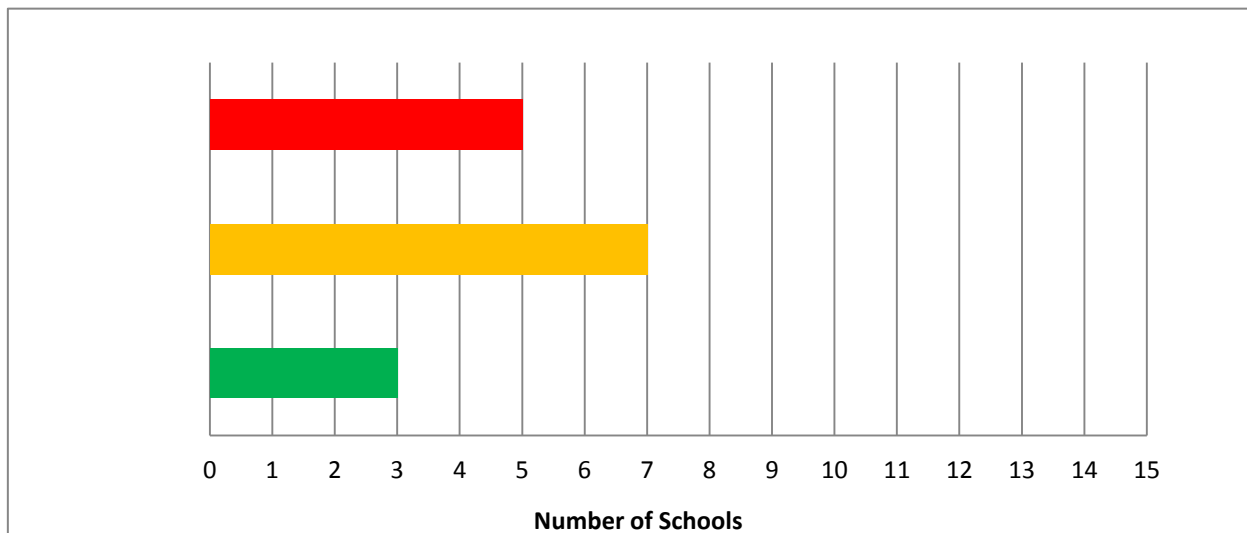
Fig A.1: RAG Status (Financial Controls)

In the absence of standard financial processes, the strength of financial controls was dependent on whether or not the school had an experienced management team. There was a new head teacher or business manager in post at each of the five schools where significant control weaknesses were identified.

Financial record keeping

Schools which were assessed as 'amber' or 'green' used simple accounting software to manage the School Fund or had developed their own manual system to account for income and expenditure and reconciled accounting records to bank statements each month. The five schools assessed as 'red' did not keep sufficient accounting records to allow reconciliations to be performed.

All schools now submit quarterly budget monitoring reports to the Communities & Families finance team. This meant schools were aware of their financial position through the year, and historic overspends at certain schools are being addressed by the school management teams and Communities & Families.

Common areas for improvement across the 15 schools visited included:

Oversight of financial controls

Schools were unable to demonstrate segregation of duties over key financial processes. Expected controls were missing including:

- Cash banked was not reviewed periodically by the business manager (12 schools)
- Bank reconciliations were not reviewed by a member of the school management team (10 schools)
- Schools were unable to demonstrate that expenditure had been authorised by a member of the school management team (8 schools)
- Schools were unable to demonstrate that budget monitoring reports were reviewed by the head teacher (8 schools)

Cash

Seven of the schools visited did not have an accurate record of petty cash held at the date of audit and were unable to demonstrate that cash held is counted periodically and reconciled to the petty cash book.

Cash was visible and unsecure in the school office at four schools visited.

Equipment and High Value/Desirable items

While all but two of the schools had a record of high value computing equipment such as iPads, asset registers were incomplete or inaccurate at eight of the 15 schools visited. New purchases were often not recorded promptly, and high value and/or portable equipment such as smartboards, cameras and monitors were not always listed.

B: Workforce Controls
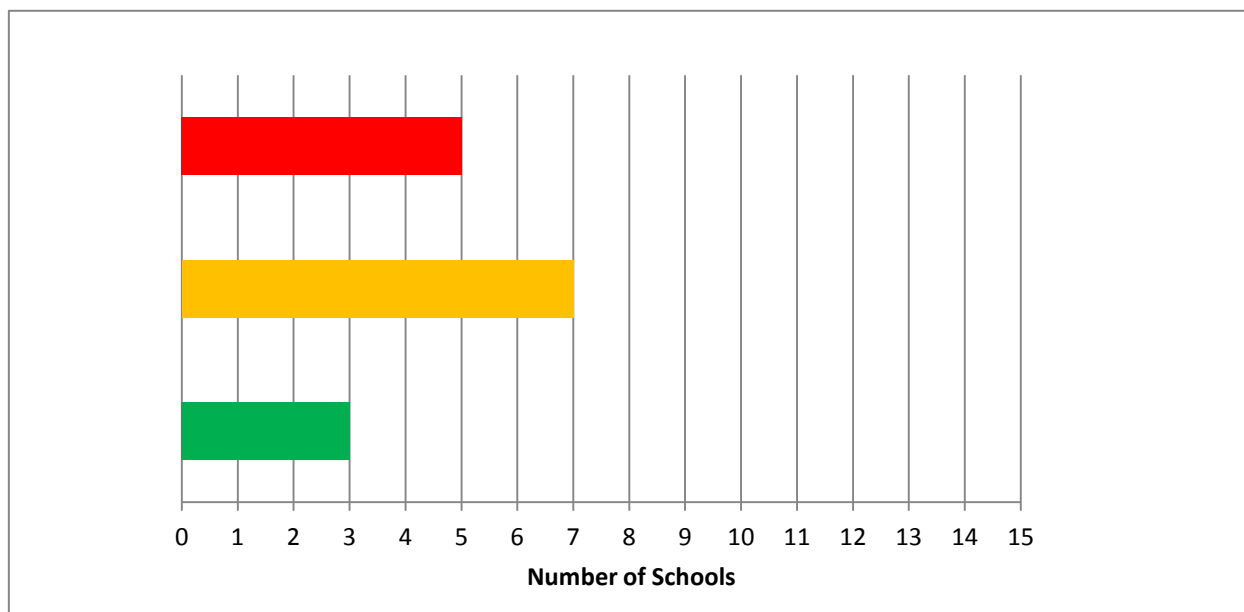
Fig. B.1: RAG Status (Workforce Controls)

Practice for managing professional development, absence and induction varied considerably from school to school. Common areas for improvement across schools visited included:

Non-teaching staff

Professional development was managed well for all teaching staff, and 'Protection of Vulnerable Groups' ('PVG') checks were completed before the teacher started at the school.

However, auditors identified catering, cleaning, administration and IT staff working on school premises during school hours who were not covered by PVG checks and who had not completed Child Protection Level 1 training. It was also unclear whether PVG checks should be completed for adults living on school premises in 'tied properties'.

Mandatory training

Communities & Families have developed an Essential Learning Matrix which sets out mandatory and recommended training for each post in a school. The Matrix had not been circulated at the time of our audit.

Only six of the 15 schools were able to demonstrate that staff had completed 2015/16 mandatory training by the extended schools deadline of 30 September.

Induction

As Council employees, all new school staff should complete the induction checklist with their line manager to ensure they understand their role and responsibilities and are familiar with key corporate policies. The checklist was not consistently completed and recorded on iTrent at 11 of the schools visited.

Absence management

The 'Managing Attendance' policy was not well embedded in schools. Sickness absence was not consistently recorded on iTrent at 9 of the 15 schools visited. This means the Council does not have accurate management information about sickness absence in schools.

Return-to-work interviews should be carried out after every sickness absence and recorded on iTrent. This did not happen consistently at 10 of the schools visited.

Registers of interest, gifts and hospitality

Schools are required to record conflicts of interest and gifts and hospitality received by staff. Only five of the schools visited keep a register of interests at present.

C: Health and Safety Controls
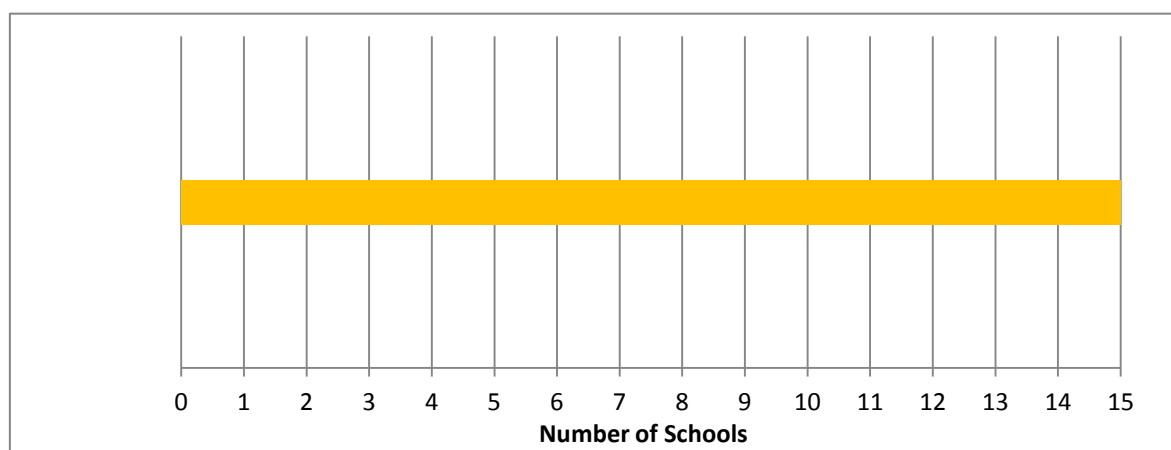
Fig. C.1: RAG Status (Health and Safety)

H&S roles and responsibilities

Roles and responsibilities for discharging H&S accountability and responsibility were unclear for some risks, in particular those risks which arise as part of the teaching curriculum.

Limited evidence for H&S responsibilities being included in the PRD process.

H&S training

Communities & Families have developed an Essential Learning Matrix which sets out mandatory and recommended H&S training for each post in a school. This was under review at the time of the audits. However, not all mandatory H&S training as set out in the Essential Learning Matrix had been completed.

There was a lack of H&S training for SSOs.

H&S Communications

H&S communications were generally good, including communications on health and safety to staff and pupils.

H&S Risk Assessments and Controls

Gaps were identified in H&S risk assessments for both curricular and non-curricular activities. There was a lack of H&S risk assessments for activities undertaken by the SSOs.

Health surveillance screening was overdue for the majority of CDT teaching staff.

Workplace Inspections

Gaps were identified in workplace inspections which should be carried out each term.

Emergency Procedures

Emergency arrangements were generally good, including fire safety, first-aid, swimming pools and H&S incidents.

D: Property & Statutory Controls
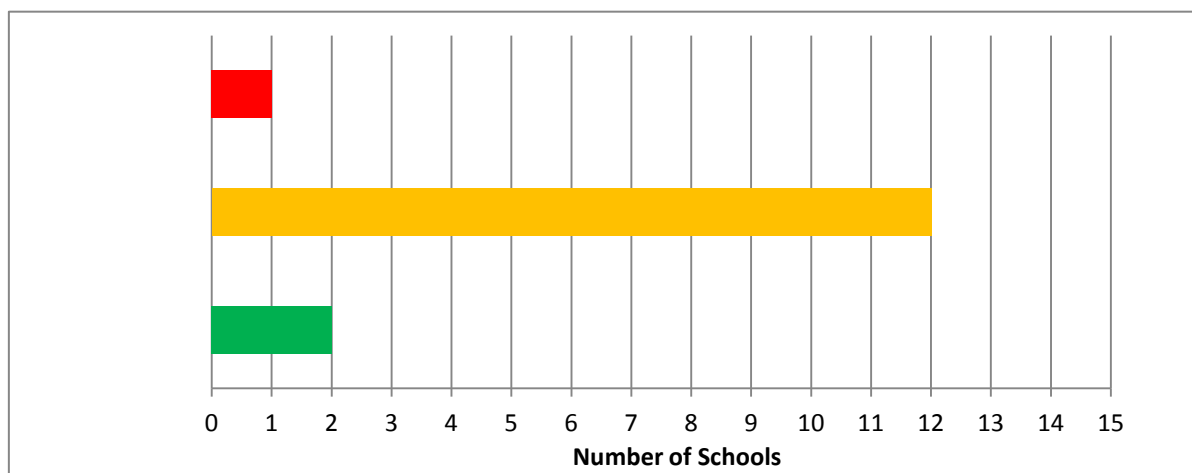
Fig. D.1: RAG Status (Property & Statutory Controls)

Statutory inspections and tests

Statutory inspections and tests were in place for those risks traditionally managed by Property Facilities Management Teams including asbestos, electrical safety, water safety (*legionella),* lifts, and boilers.

However, arrangements for record keeping were inconsistent and no records were held on site at a number of schools.

Gaps were identified for inspection and testing of play ground and fixed gym equipment, and for inspection of window restrictors.

Note that the structural condition surveys for properties were not considered as part of these audits.

E: Resilience
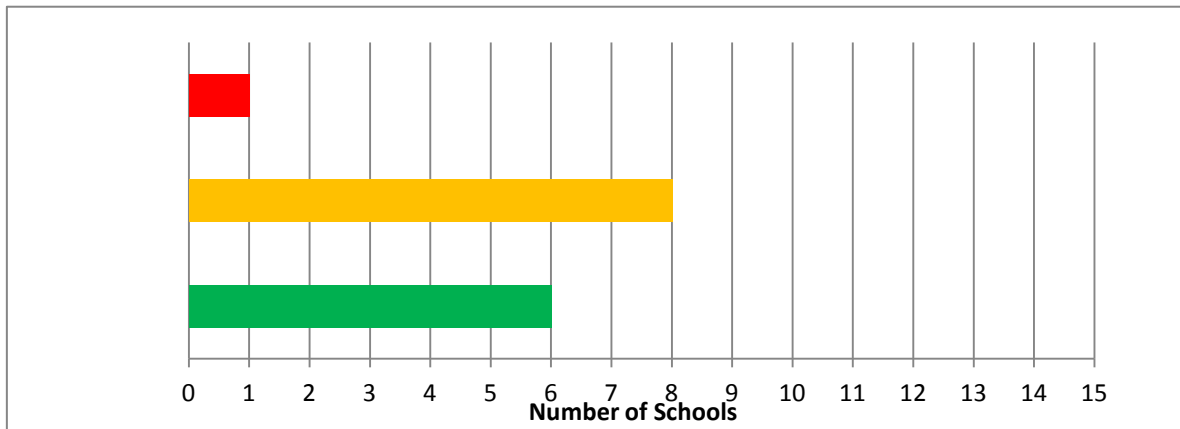
Fig. E.1: RAG Status: Resilience

Resilience plans for severe weather, infection control and significant occurrences were well communicated to schools. At least one member of the senior management team had attended significant occurrence training at all but one of the schools.

Schools were assessed as 'amber' where roles and responsibilities in the event of an incident were not well defined (5 schools) and where the emergency contact list was out of date or not readily accessible (5 schools).

F: Information Security
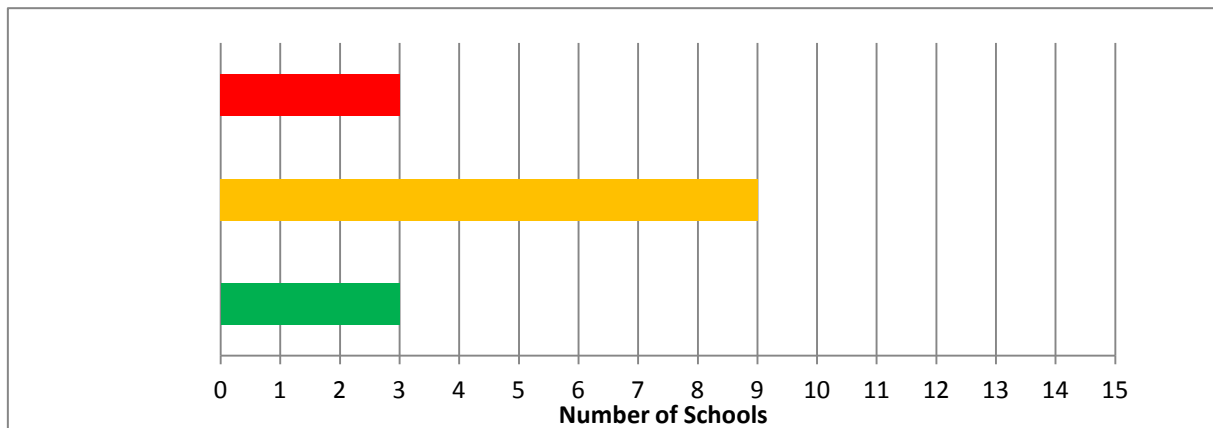
Fig. F.1: RAG Status: Information Security

Information governance

The Council introduced a new Information Governance Policy in 2015 which required schools to review the way in which they obtained, retained and destroyed data. Most schools were aware of its existence, but had not yet embedded recommended practices: schools highlighted the need for guidance on destroying data at the end of its retention period, and how to carry out and record record reconciliations or audits.

Schools were assessed as 'red' where:

- The Information Governance policy has not been communicated to staff;
- No attempt at carrying out a records audit has been made;
- A data security breach was reported during the audit (1 school).

ICT co-ordinators

All schools have an ICT co-ordinator, who at secondary schools is usually a member of the ICT teaching staff. Secondary schools also benefit from a shared ICT technician. Concerns were raised by a number of primary schools that they did not have a member of staff with the technical experience to take on the role of ICT co-ordinator and that they did not fully understand what the role involved.

G: Child Protection
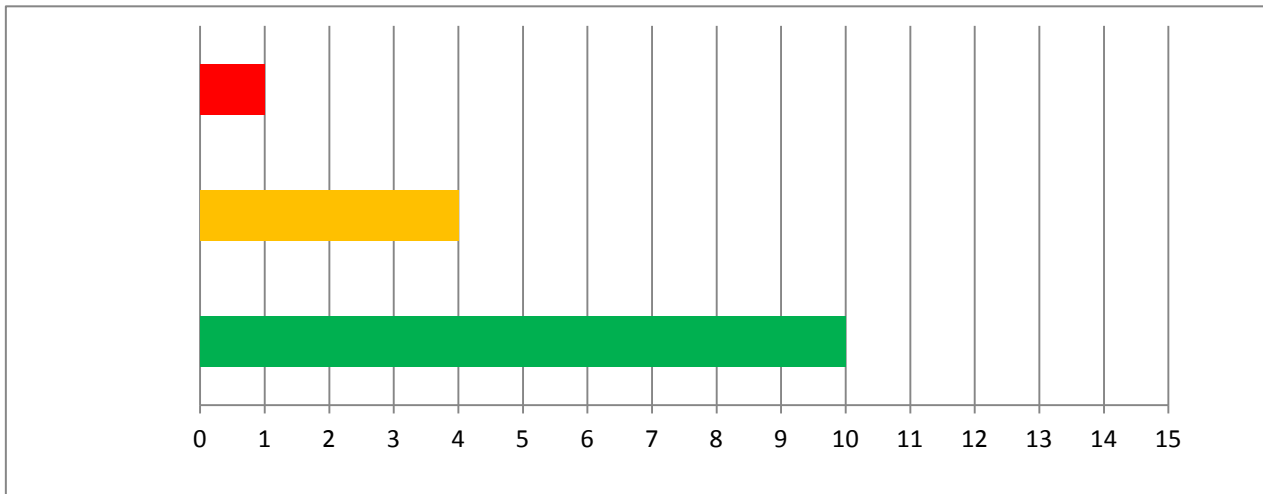
Fig. G.1: Child Protection

There was a high level of compliance with Child Protection requirements. Ten of the 15 schools visited maintained good records of child protection training and were able to demonstrate that:

- All staff had attended the 2015/16 Child Protection briefing and were familiar with key child protection policies
- All staff had completed Child Protection Level 1 or 2 within the past 3 years
- Designated child protection staff had completed Child Protection Level 4 training within the past 3 years; and
- The head teacher had completed training in managing allegations of abuse against staff and volunteers within the past 3 years.

Two schools had not recorded attendance at the Child Protection briefing, and a further two schools only had one designated child protection staff member.

One school was assessed as having significant control weaknesses in relation to child protection. The school had no training records to demonstrate that all staff had completed Child Protection Level 1 or 2 within the past 3 years, had not recorded attendance at the child protection briefing. The head teacher was new in post and had not yet completed training in managing allegations of abuse.

H: Risk Matters
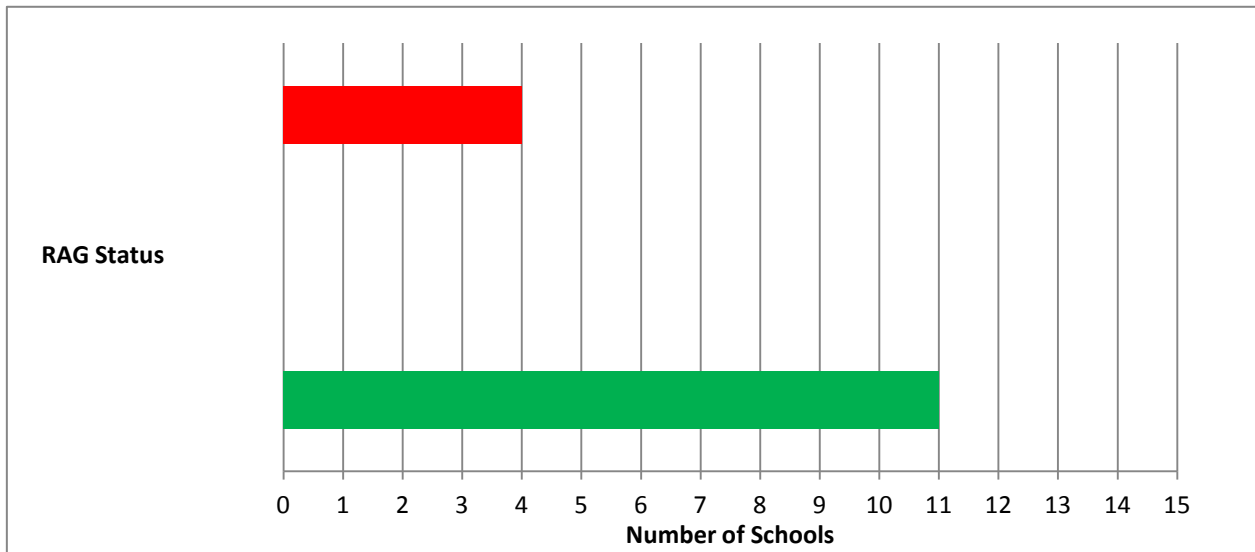
Fig. F.1: Risk Matters

Communities & Families issued a 'Risk Matters' bulletin in May 2015. This test was designed to test the dissemination of information in schools. Eleven of the 15 schools visited had circulated the bulletin to staff.

At the time the Schools Assurance Framework was developed, it was expected that 'Risk Matters' would be a quarterly bulletin. Only one bulletin has been issued to date, so we do not anticipate including this section in next year's assurance checklist.

I: Reliability of self assessment

The assurance work conducted by Internal Audit and Health and Safety supplements the Local Annual Assurance Statement which all head teachers have been asked to complete this year. Head teachers were asked to confirm the controls in place and to highlight any areas of risk which they felt were not managed effectively.

Head teachers at five of the 15 schools visited had returned their assurance statement before the audit visit. They assessed their compliance against 45 questions. We compared their responses to our assessment of their controls. The graph below shows the average distribution of red, amber and green ratings at the five schools. A detailed comparison is included in Appendix 2.
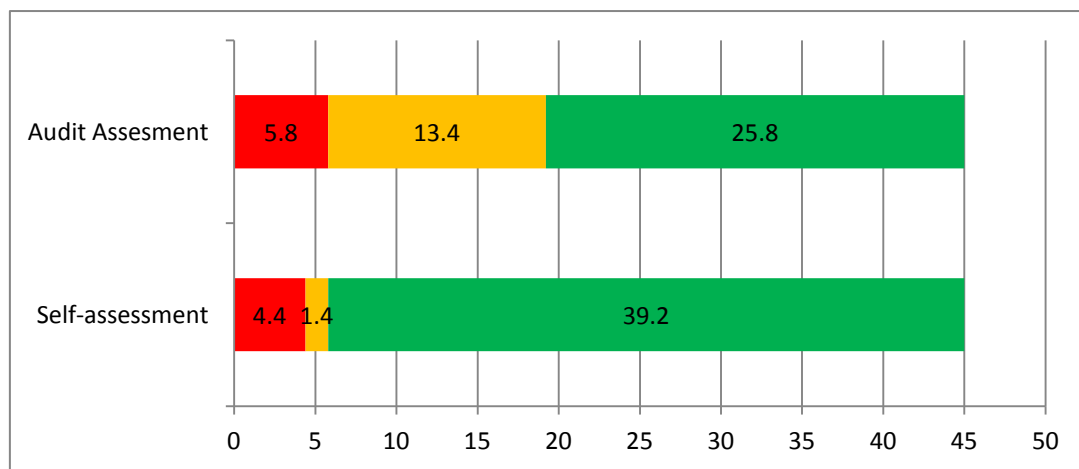
Fig. I.1: Average RAG scores

Schools identified areas where there were significant control deficiencies with reasonable accuracy. Across the 5 schools, 12 affirmative responses were converted to a 'red' risk rating following the audit visit. However, schools were asked to give a yes/no response to the each question. This meant that schools did not highlight areas where basic controls were in place but the control environment could be improved.

The Local Annual Assurance Statement will be rolled out to all Communities & Families establishments in 2016/17. The schools' responses will inform the Director's Statement of Assurance and will be used to identify weaknesses in the schools control framework. Internal Audit will continue to visit 15 establishments a year, but do not have the capacity to increase the audit programme.

It is recommended that Communities & Families consider visiting further schools to validate their responses to the finance and administration sections of the Local Annual Assurance Statement and benefit from a more nuanced assessment of controls than schools themselves are able to provide.

Corporate Health and Safety will continue with their rolling annual audit programme, including the 15 under the Assurance Framework programme. The health and safety audit requires technical knowledge and H&S competence which means H&S audits cannot be carried out by Communities & Families staff.

Recommendations

Each school was given an action plan at the end of the audit visit to help them develop and improve their controls and processes. There were a number of common areas of improvement across the schools where additional support and guidance from Communities and Families or Corporate Property would be beneficial.

Section	Finding	Recommendation
Governance		
Sharing good practice	There is little standardisation of administrative work carried out by the head teacher and business manager. There are lots of examples of good practice, where individual business managers and head teachers have developed robust and effective tools for use in their own schools, but these were not shared amongst the school community.	A toolkit should be produced and shared with schools, which includes recommended processes and templates which schools can use for key control areas such as School Fund financial records, petty cash books, asset registers, and records audits. Schools should be encouraged to 'buddy up', so experienced business managers can share their knowledge with schools with weaker controls.
Communication	In all schools concerns were raised over the method of communication from the corporate Communities and Families team back to the Schools. As an example, schools noted that the Information Governance policy was not clearly communicated, and was circulated as an attachment to a general email.	Head teacher and business manager groups should be consulted to establish the most effective way of communicating key messages to schools.
Local Annual Assurance Statement	The Local Annual Assurance Statement will be rolled out to all Communities and Families units in 2016/17. Responses will inform the Director's Assurance Statement.	Internal Audit and Corporate Health and Safety will continue to visit 15 units each year. Communities and Families should consider supplementing the audit programme with visits to schools to validate responses to the finance and administration sections of the self-assessment questionnaire. Corporate Health and Safety will continue to undertake H&S audits for additional units as part

		of their rolling audit programme.
		The health and safety audit requires technical knowledge and H&S competence which means audits cannot be carried out by Communities & Families staff.
Finance		
Online Payments	There were significant control weaknesses in cash management identified at 7 schools visited. An online payment system has been sucessfully trialled in a number of schools, but has not yet been introduced across the school estate.	Communities & Families may wish to consider rolling out the online payment system to all schools. This would improve compliance with Council procedures and consistency in practice throughout the school estate.
Workforce		
Registers of Interest and Recording of Gifts and Hospitality	Only two of the 15 schools visited have created a register of interests. Similarly, few schools recorded gifts and hospitality received by staff.	Additional guidance should be issued to all schools confirming the requirement to maintain registers of interests, gifts and hospitality.
Recording Training	There was a lack of awareness of the requirements for recording all training for teaching and non-teaching staff. There is also no automated method of producing monitoring information on the attendance and non-attendance rates for courses booked, with no guidance available noting that this management information should be monitored.	Guidance on the most appropriate method of capturing full training information for all staff and extracting attendance information is required. Some schools monitor training well: the tools they have developed to identify training needs and monitor attendance at courses could be rolled out to all schools as a standard template.
Essential Learning Matrix	The ELM has been published in draft for some time but is not accurate for the key roles in schools. Application of the matrix in its current form requires standardisation of key activities which are not yet present in schools.	The ELM should be finalised. Representatives from schools should be consulted to ensure it is accurate before it is circulated more widely.
Performance Review	Performance reviews were not routinely held for non-teaching staff. Clarification is required about whether some form of	A number of schools supported administration and teaching support staff with professional development. Corporate C&F

	performance review is required for staff at grade 4 or below.	team should consider whether this should be rolled out across the school estate.
Health and Safety		
Roles and responsibilities for discharging H&S responsibilities	Lack of clarify on roles and responsibilities for **discharging** H&S accountability and responsibility (to a lesser extent in PPP schools).	Clarify roles and responsibilities for discharging H&S responsibilities across C&F, Schools and Property. (This work is currently underway and is being led by Corporate H&S). Ensure roles and responsibilities are understood and executed.
PRD Process	H&S roles and responsibilities are not included as part of the PRD process.	Consideration should be given to setting personal H&S objectives for Head Teachers, and including as part of the PRD process.
H&S training	Lack of clarity on mandatory H&S training for key role holders in the school.	The C&F Essential Learning Matrix should be finalised with input from Corporate H&S for H&S training. Completion of mandatory H&S training should be monitored and reported at appropriate SMT forums for oversight. Note that the proposed Corporate H&S Training Strategy includes the re-design of H&S training in schools to make it proportionate and relevant.
Property and Statutory Controls		
Records management	Arrangements for record keeping for statutory inspections and tests were inconsistent and no records were held on site at a number of schools.	Review record keeping arrangements for statutory inspections and tests, to ensure records are readily available at each unit.
Sharing best practice	Lack of sharing of best practice.	Consideration should be given to sharing best practice between PPP and non-PPP managed schools.
Information Security		
Records Management	There was a lack of understanding of the record management requirements of the Council, particularly in the	Clear guidance and training in records management should be provided to schools to help them comply with the Information

	recording of data destruction.	Governance policy.
ICT Coordinators	There is a lack of clarity over the role of the ICT Coordinator. Not all staff members taking on this role have the necessary technical skill set.	Clarification should be provided to all ICT co-ordinators with additional training provided to those who have less technical experience. Consideration should be given to rolling out the role of cluster ICT Technicians to primary schools to support the use of ICT in schools and compliance with information security requirements.
Child Protection		
'Protection of Vulnerable Groups' Disclosure and Child Protection	Guidance is unclear on whether non-teaching staff such as cleaners and technicians and those who live on school grounds should have a PVG disclosure and be trained to child protection level 1.	Communities and Families should confirm which adults connected with a school must have PVG disclosure and attend Child Protection training.

Future of Schools Assurance Framework

Looking Back and Lessons Learned

Timing of audits and early communication with schools

The format and demands of an audit visit were unfamiliar to schools, and were not sufficiently communicated to head teachers and business managers before audit visits were scheduled. This led to delays to the audit programme in the first year until the programme could be introduced to schools at the Head Teacher's Executive and business manager and head teacher forums. These presentations provided the schools with an opportunity to clarify the audit process, assurance requirements and their responsibilities during the audit.

A significant number of the audit visits were rescheduled as a result of this initial delay and to accommodate school commitments. This had a knock on effect on the work programme of both the Health and Safety Officer and the Internal Auditor in other areas of the Council.

Working group members

A working group was set up at the beginning of the Pilot to develop the audit procedures and establish the assurance framework. The membership of the working group will be revised for 2016/17 to ensure areas such as Facilities Management who have a strong presence in schools are represented.

Communication of 'high' risk findings.

Significant control findings were not consistently communicated to the key corporate officer until the final report was issued. Given delays in issuing final reports caused by slow responses from schools, the relevant corporate officer will be alerted to significant control findings at draft stage in future to ensure that the school receives immediate support to address control weaknesses.

Going Forward and Improved Process

Embedding the Assurance Statement

The detailed management information gathered from audit visits and schools' self assessments was welcomed by schools, Finance, and Communities and Families. It has been agreed that the Schools Assurance Framework will now be embedded in the Communities and Families governance arrangements and extended to include residential schools and early years centres as well as primary, secondary and special schools. Internal Audit and Corporate Health and Safety will continue to visit 15 units each year to assess the controls in place and validate responses to the Local Annual Assurance Statement.

A working group will be set up to finalise the areas of assurance, select units to be audited and agree a timetable for audit. The working group will consist of representatives from:

- Internal Audit
- Corporate Health and Safety
- Communities and Families
- Finance
- Corporate Property
- Record Management
- Organisational Development.

Audit procedures

Auditors used a validation checklist (attached in Appendix 1) to assess the control framework in place at each school and validate the school's responses to the Local Annual Assurance Statement where available. The checklist will be reviewed with the experience of the pilot assurance programme behind us to enhance the audit process in future years.

Schools will be provided with a list of documents which should be included in an evidence pack to help them complete the self-assurance statement accurately and prepare for an audit visit.

Communication

The Assurance Framework will be introduced at New Leaders' Forums so new head teachers understand the format and process. Schools will receive the 2016/17 audit schedule in April 2016 to give them time to prepare for audit visits. Communities and Families will be consulted in preparing the audit schedule to minimise disruption to teaching and learning.

Significant control weaknesses will be discussed with the Senior Officer within the relevant Corporate area to ensure full support and accountability before the draft report is prepared.

Presentation of lessons learned and future plans

Internal Audit and the Resilience and Risk Manager will present a summary of findings, lessons learned and the proposal for moving forward to the Communities & Families Risk Committee and the Head Teachers' Executive, noting that the assurance statement and audit programme are now an integral part of the department's governance arrangements.

		School															Total RAG ratings			
		CF 1502	CF 1503	CF 1504	CF1505	CF1506	CF 1507	CF1508	CF 1509	CF1510	CF 1511	CF1512	CF 1515	CF 1516	CF1517	CF 1518	NO	Partial	YES	N/A

Section A- Financial Controls

Ref	Monitoring and Budget Outturn																NO	Partial	YES	N/A
1.1	Confirm that Business Manager provides sufficient financial monitoring to Head Teacher	A	G	A	A	A	G	A	G	G	G	G	A	G	A	A	0	8	7	0
1.2	Obtain latest projections from Finance and establish whether meeting budget	G	G	A	A	G	G	G	G	R	G	G	G	G	G	R	2	2	11	0
1.3	If in potential overspend confirm whether discussions are in place with Finance or C&F Snr Mgrs to mitigate issue	G	G	A	R	G	G	G	G	G	G	G	G	G	G	A	1	3	11	0
	Income																			
2.2.2	Ascertain whether prime records exist that ensure all income is known and recorded (z totals, receipt book, community class list etc)	G	G	R	A	G	G	A	A	A	R	A	G	G	G	G	2	5	8	0
2.2.3	For an appropriate sample of each category verify that the total income expected was banked intact	G	G	R	G	G	G	A	R	G	R	A	G	G	A	G	3	3	9	0
2.2.4	Ascertain whether there is segregation of duties in relation to collection of cash and banking	G	G	R	G	A	G	G	R	A	R	A	G	G	A	G	3	4	8	0
2.2.5	Bankings periodically checked by Business Manager to ensure completeness and accuracy (signed & dated)	G	A	R	A	G	A	G	R	R	R	R	G	A	R	R	6	6	3	0
	Expenditure																			
2.3.1	Scrutinise school fund expenditure to ascertain that expenditure appears reasonable and is compliant with the current guidance	G	G	R	G	G	G	G	G	A	A	A	G	G	G	R	2	3	10	0
2.3.2	Vouch a sample of 20 payments to invoices or other prime record. Ensure properly authorised and appropriate	G	G	R	A	G	G	G	A	R	A	G	A	A	G	G	2	5	8	0
2.3.3	Obtain current cheque book and ensure no presigned cheques	G	G	R	G	R	G	G	G	G	G	G	R	G	G	G	3	0	12	0
2.3.4	Confirm that 2 signatures are required on cheque	G	G	R	G	G	G	G	G	G	G	G	G	G	A	G	1	1	13	0
	For last 3 months of the school fund (and any other bank account administered by CEC staff) check																			
2.4.1	Reconciled within month of month end (signed & dated)	G	G	R	G	G	G	R	G	R	R	R	A	G	G	G	5	1	9	0

		School															Total RAG ratings			
		CF 1502	CF 1503	CF 1504	CF1505	CF1506	CF 1507	CF1508	CF 1509	CF1510	CF 1511	CF1512	CF 1515	CF 1516	CF1517	CF 1518	NO	Partial	YES	N/A
2.4.2	School fund cash book shows balances by category (i.e general, school trip x, uniforms etc)																3	4	8	0
2.4.3	Reviewed and authorised by Business Manager (signed & dated)																6	4	5	0
2.4.4	Check addition, vouch totals to prime cash book, verify o/s cheques and lodgements to following bank statement																4	2	9	0
2.4.5	Confirm errors / issues addressed and not simply accumulating																4	2	9	0
	Cash																			
3.1.1	Reconcile petty cash to cash and vouchers																4	2	9	0
3.1.2	Confirm that petty cash is reconciled at least monthly (signed & dated)																6	1	8	0
3.1.3	Petty cash reconciliation reviewed and authorised by Business Manager (signed & dated)																6	1	8	0
3.1.4	Confirm that cash is held securely and in																4	2	9	0
3.1.5	Confirm that income (cash) is banked at appropriate intervals																3	3	9	0
	Equipment and High Value / Desirable Items																			
3.2.1	Verify that records are held of equipment and other high value or desirable items, i.e ipads, mobile phones, electrical equipment																2	5	8	0
3.2.2	Confirm that records are up to date																2	6	7	0
3.2.3	Physically check a sample of assets																2	3	10	0

Section B- Workforce Controls

		CF 1502	CF 1503	CF 1504	CF1505	CF1506	CF 1507	CF1508	CF 1509	CF1510	CF 1511	CF1512	CF 1515	CF 1516	CF1517	CF 1518	NO	Partial	YES	N/A
	Key Corporate Workforce Policies & Procedures																			
1.1.1	Review records to establish whether training in the key Corporate Policies and Procedures (defined in App1 Self Assess Questions) is embedded and adequately recorded																1	10	4	0
1.1.2	Review how conflicts of interest (including perceived) are managed and recorded and establish whether records appear accurate and up to date																4	7	4	0
1.1.3	Establish what the local guidance if any is in relation to amounts , types of gifts and hospitality deemed acceptable																4	6	5	0
1.1.4	Review the gift and hospitality register and establish whether it is operating as required, including the recording of declined gifts and hospitality																5	5	5	0

		School															Total RAG ratings			
		CF 1502	CF 1503	CF 1504	CF1505	CF1506	CF 1507	CF1508	CF 1509	CF1510	CF 1511	CF1512	CF 1515	CF 1516	CF1517	CF 1518	NO	Partial	YES	N/A
	Mandatory C&F Training (ELM)																			
2.1.1	All staff are aware of the C&F Essential Learning Matrix																5	6	4	0
2.1.2	Attendance and non attendance as mandatory training and essential learning is recorded and reported regularly to HT																4	7	4	0
	Recruitment & Induction																			
	For a sample of 6 employees starting within the last year verify:																			
3.1.2	The induction checklist has been followed and completed appropriately to the relevant stage																3	9	3	0
3.1.3	The employee has been made aware of their roles and responsibilities																3	8	4	0
3.1.4	Suitable references have been checked and are held on file																2	5	8	0
3.1.5	PVG documentation has been verified prior to the start of the employment.																1	4	10	0
	Performance and Attendance																			
3.2.1	**For the sample of 6 employees above verify:**																			
3.2.2	PRD records are complete and up to date on Itrent																3	4	8	0
3.2.3	Sickness has been recorded on system correctly																0	9	6	0
3.2.4	Managing attendance procedure has been followed properly and evidenced on iTrent if applicable																2	8	5	0
	Section C- Health and Safety																			
1	Health and Safety Roles and Responsibilities																			
	For a sample, verify for Head Teacher, Business Manager, 2 Curricular Heads, and SSO:																			
1.1	H&S roles, responsibilities and accountabilities set out in the Council H&S Policy are understood for key roles, e.g. Head Teacher																1	1	13	0
1.2	Roles and responsibilities are clearly set out in the school, and understood, e.g. Head Teacher, Business Manager, Curricular Heads, Teachers, SSO																1	5	9	0
1.3	H&S responsibilities are included in personal objectives (PRDs) for key roles, e.g. Head Teacher, Business Managers, Curricular Heads																4	8	3	0
2	**Health and Safety Training**																			
2.1	Induction H&S training is carried out for all staff (*verify for 2 recent new staff members*)																1	2	12	0
2.2	All staff have completed all C&F 'mandatory/essential' H&S training set out in the C&F Leaning and Development Matrix																5	9	1	0
2.3	All other H&S training needs have been identified, and implemented																5	9	1	0
2.4	Training has been provided to all relevant staff on dealing with violence and aggression																4	1	8	2
3	**Health and Safety Communications**																			
3.1	The Council H&S Policy and guidance is readily accessible to all staff and third parties																0	1	14	0
3.2	HSE Health and Safety Law Poster is displayed																3	1	11	0
3.3	The Employers' Liability Certificates is displayed																0	0	15	0

		School															Total RAG ratings			
		CF 1502	CF 1503	CF 1504	CF1505	CF1506	CF 1507	CF1508	CF 1509	CF1510	CF 1511	CF1512	CF 1515	CF 1516	CF1517	CF 1518	NO	Partial	YES	N/A
	For a sample, verify meeting minutes for Head Teacher staff meetings, 2 Department Team meetings (CDT and PE) in last 6 months																			
3.4	H&S is discussed at Head Teacher staff meetings																0	4	11	0
3.5	H&S is discussed at Department staff meetings																1	4	9	1
3.6	H&S instructions are given to pupils (*verify for 4 pupils*)																0	0	14	1
4	**Health and Safety Risk Assessments**																			
4.1	Adequate H&S risk assessments in place for all curricular activities (*verify for CDT, PE, Science, Excursions*)																1	11	3	0
4.2	Adequate H&S risk assessments in place for all non-curricular activities (*verify for 2 non-curricular activities, including driving minibus if applicable*)																4	8	3	0
4.3	COSHH assessments in place for activities with significant exposure to hazardous substances (*verify for Science and CDT*)																2	11	2	0
4.4	Manual handling assessments in place, as appropriate																13	1	1	0
4.5	Working at height assessment(s) in place (over 2m rule of thumb)																9	4	2	0
4.6	Workstation/DSE assessments in place, as appropriate																6	3	6	0
4.7	Expectant / nursing mothers risk assessments in place, as appropriate																2	0	6	7
4.8	Noise sources above 85dB(A) have been identified, and risk assessment(s) in place																4	0	1	10
4.9	Radiation assessment(s) in place																2	0	3	10
5	**H&S Control Measures**																			
5.1	Controls identified in risk assessments for all curricular activities in place (*verify for CDT, PE, Science, Excursions*)																0	11	4	0
5.2	Controls identified in risk assessments for all non-curricular activities in place (*verify for driving on business, and one other activity*)																4	9	2	0
5.3	Permit to work in place for high risk activities (e.g. access to roof)																1	1	7	6
5.4	Ladders inspected on a regular basis. Records available																5	1	9	0
5.5	Personal protective equipment is provided. Records available																2	10	3	0
5.6	Health surveillance is carried out, as appropriate																4	2	1	8
5.7	All hazardous substances are clearly labelled and stored appropriately (locked cupboard)																0	2	13	0
5.8	Workstation/DSE adjustments implemented, as appropriate																6	4	5	0
5.9	Weekly and pre-use minibus checks are carried out																2	0	2	11
5.10	Leak test for radiation is carried out																1	0	3	11
5.11	Procedures in place to deal with violence and aggression																1	3	11	0

		CF 1502	CF 1503	CF 1504	CF1505	CF1506	CF 1507	CF1508	CF 1509	CF1510	CF 1511	CF1512	CF 1515	CF 1516	CF1517	CF 1518	NO	Partial	YES	N/A
6	**Statutory tests and inspections for teaching equipment**																			
	For a sample, verify for fume cupboard, forge, crucible, kiln																			
6.1	Requirements for statutory tests and inspections for teaching equipment have been identified																1	6	4	4
6.2	All statutory tests and inspections for teaching equipment are up to date and records are available																2	6	2	5
7	**H&S Workplace Inspections / Housekeeping**																			
	For a sample of the last 12 months, verify:																			
7.1	H&S Workplace Inspections are carried out each term																3	8	4	0
7.2	There is a plan of Safety Inspections by Trade Union Safety Reps, and these are carried out according to the plan																5	4	0	6
7.3	Satisfactory standard of housekeeping																0	2	13	0
7.4	Items stored at height are accessible, secure and safe																0	2	13	0
7.5	No accumulation of rubbish																0	1	14	0
8	**Stress / Employee Assistance Programme**																			
	For a sample, verify for 3 departments																			
8.1	Team stress risk assessments are carried out																13	1	1	0
8.2	Individual stress risk assessments are carried out for individuals, as appropriate																8	1	5	1
8.3	Information on the EAP is readily available to staff, and staff are aware about the range of services (online, telephone and counselling services) plus EAP support for managers (*verify for 4 staff*)																3	1	11	0
9	**First-aid arrangements**																			
9.1	Adequate number of first-aiders																0	0	15	0
9.2	First-aider training is up to date (*training records verified*)																0	0	15	0
9.3	Information on first-aid arrangements is displayed																5	0	10	0
9.4	First-aid box(es) checked on a regular basis (verify first aid-boxes are fully stocked)																0	0	15	0
9.5	First-aid room is clean and tidy																0	1	10	4
9.6	Defibrillator is serviced annually																2	0	1	12
	Overall rating																1	4	10	0
10	**Fire safety and emergency response arrangements (H&S)**																			
	Fire safety																			
10.1	Fire risk assessment in place																1	3	11	0
10.2	Fire evacuation plan is in place																0	1	14	0
10.3	Fire evacuation notices are suitably displayed																2	4	9	0
10.4	Planned fire evacuation drills are held once per term (*verify records for last 3 terms*)																1	4	10	0

		School															Total RAG ratings			
		CF 1502	CF 1503	CF 1504	CF1505	CF1506	CF 1507	CF1508	CF 1509	CF1510	CF 1511	CF1512	CF 1515	CF 1516	CF1517	CF 1518	NO	Partial	YES	N/A
10.5	Nominated individual and deputy to co-ordinate emergency response (fire / other emergencies)																0	0	15	0
10.6	Adequate number of fire wardens																0	0	7	8
10.7	Fire warden training is up to date (*training records verified*)																0	1	5	9
10.8	All emergency escape routes, fire doors and assembly routes are free from obstruction																0	0	15	0
10.9	Fire alarm call point is tested weekly (different call point each week)																2	0	13	0
10_10	Aqueduct provision of portable extinguishers																0	1	14	0
10.11	Adequate emergency lighting																0	5	10	0
10.12	Adequate fire signage																0	7	8	0
10.13	Fire assembly point is suitably demarcated																0	3	11	1
	Emergency response																			
10.13	Emergency procedure in place for lift breakdowns																1	0	8	6
10.14	Information on emergency procedure for lifts is displayed (near the lift)																1	0	8	6
10.15	Emergency procedure is in place for swimming pool incidents, and has been communicated to all relevant staff staff																0	0	5	10
10.16	Bomb threat plan is in place																0	9	6	0
10.17	All emergency shut offs are clearly identified, accessible and functioning																1	0	13	1
11	**Reporting and Investigation of Incidents**																			
	Verify records for last 6 months																			
11.1	All incidents, accidents and work-related ill health cases are reported																0	1	14	0
11.2	All incidents, accidents and work-related ill health cases are investigated																0	0	15	0
11.3	Information on incident reporting is communicated																0	0	14	0
12	**Escalation and monitoring of H&S risks and issues**																			
12.1	There is a risk notification procedure that sets a protocol in case of any serious or imminent H&S risk																0	2	13	0
12.2	The risk notification procedure has been communicated to staff and pupils (*verify*)																1	4	10	0
12.3	Implementation of H&S measures identified in H&S workplace inspections, audits, accident investigations etc. is tracked to completion (*verify for last H&S audit and H&S workplace inspection and incident investigation*)																4	8	3	0
13	**Control of Contractors**																			
13.1	All contractors and visitors are required to sign in and out *(verify signing in book*)																1	1	13	0
13.2	All contractors and visitors are provided with H&S information, including emergency procedures																0	3	12	0
13.3	All work undertaken by contractors is authorised by relevant service (e.g. Property) *(verify for all work undertaken by contractors in last 6 months)*																0	2	12	1

		School															Total RAG ratings			
		CF 1502	CF 1503	CF 1504	CF1505	CF1506	CF 1507	CF1508	CF 1509	CF1510	CF 1511	CF1512	CF 1515	CF 1516	CF1517	CF 1518	NO	Partial	YES	N/A
13.4	Systems are in place to ensure contractors are provided with adequate H&S information, and adequately supervised																0	3	12	0
14	**H&S Arrangements with Voluntary Organisations**																			
14.1	Organisations that use the schools' facilities are provided with H&S information including emergency procedures																3	1	9	2
								Section D-Property & Statutory Inspection Controls												
1	**Statutory Inspections**																			
	All statutory tests and inspections are up to date and records are available:-																			
1.1	Fire safety																1	5	9	0
1.2	Evac' chairs																2	1	4	8
1.3	Fixed electrical testing																5	0	10	0
1.4	Electrical safety (portable appliance testing)																0	2	13	0
1.5	Water safety (*legionella*)																0	1	14	0
1.6	Gas safety																1	1	13	0
1.7	Hoists and mobile lifting equipment																3	1	1	10
1.8	Boiler safety																1	0	14	0
1.9	Pressurisation units																3	0	6	6
1.10	Carbon monoxide monitors																0	0	0	15
1.11	Lifts & Escalators: "Thorough Examination"																0	1	8	6
1.12	Lift maintenance																0	0	9	6
1.13	Bleacher seating inspection (hydraulic or mechanical)																0	0	1	13
1.14	Lightning protection inspection																3	1	4	7
1.15	Lighting rigs & PAT testing of stage equipment (combined structure and electrical integrity inspection)																3	1	2	9
1.15	Mansafe System Inspection																0	2	2	11
1.16	Anchor points - load tested																0	2	2	11
1.17	Tallescope Inspection																1	0	1	13
	Add any others																0	0	0	15
2 & 3									Asbestos											
2.1	The presence and location of asbestos has been identified																0	0	12	3
2.2	Information on the presence and location is readily available (on site)																0	1	11	3
3	Asbestos management plan is in place and implemented (including inspections on the condition of asbestos)																0	3	9	3
4	**Water safety (including *legionella*)**																			
4.1	*Legionella* risk assessment in place																0	3	12	0
4.2	Adequate maintenance and operation of water management system (L8). Records available																0	1	14	0
4.3	Water temperature checks are carried out to prevent scalding. Records available																5	1	9	0
4.4	Temperature of radiators are monitored and maintained to avoid thermal injuries																5	1	6	3
5	**Playground equipment**																			
5.1	Playground equipment has been inspected in last 12 months (by external specialist). Records available																6	1	1	7
6	**Fixed gym equipment**																			
6.1	Fixed gym equipment has been inspected in last 12 months (by external specialist). Records available																8	3	3	1

		School															Total RAG ratings			
		CF 1502	CF 1503	CF 1504	CF1505	CF1506	CF 1507	CF1508	CF 1509	CF1510	CF 1511	CF1512	CF 1515	CF 1516	CF1517	CF 1518	NO	Partial	YES	N/A
7	**Window restrictors**																			
7.1	Window restrictors are checked on a regular basis	Red	Green	Green	Grey	Grey	Green	Grey	Red	Amber	Red	Red	Red	Red	Amber	Red	7	2	3	3
7.2	Window restrictors suitability check has been carried out in last 12 month. Records available	Red	Green	Green	Grey	Grey	Green	Grey	Red	Amber	Red	Red	Red	Green	Amber	Red	6	2	4	3
8	**Vehicular segregation**																			
8.1	There is clearly marked segregation between vehicles and pedestrians	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Red	Green	Green	Green	1	0	13	1
	Section E - Resilience																			
1.1	Confirm that there is evidence to show Management team have attended Significant Ocurrence training.	Green	Green	Green	Green	Amber	Green	Green	Green	Green	Amber	Green	Green	Green	Green	Red	1	5	9	0
1.2	Have staff been made familiar with the contingency arrangements, Severe Weather, Infection Outbreak	Green	Green	Amber	Amber	Amber	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	0	3	12	0
1.3	are roles and responsibilities clearly definied	Green	Green	Green	Amber	Green	Green	Amber	Green	Green	Green	Green	Amber	Green	Green	Amber	0	5	10	0
1.4	Is there a log of emergency contact details				Red	Amber					Amber	Amber				Red	2	3	10	0
1.5	Is the log easy to access					Amber											2	1	12	0
1.6	Has the log been updated recently.				Red								Amber			Red	2	3	10	0
	Section F- Information Security																			
1.1	Have staff old and new been made aware of the information governance policy of CEC?	Green	Green	Red	Amber	Green	Green	Amber	Amber	Green	Green	Green	Amber	Green	Amber	Amber	1	6	8	0
1.2	Is there evidence to show that all staff have undertaken the CeCil Info Gov essential learning module?	Green	Green	Red	Amber	Red	Green	Green	Amber	Green	Green	Amber	Green	Red	Amber	Green	3	6	6	0
1.3	What are the required record retention guidance for schools,	Green	Green	Amber	Green	Green	Amber	Amber	Green	Amber	Amber	Amber	Green	Amber	Amber	Green	0	9	6	0
1.4	When was the last record reconciliation carried out, is there evidence that information was destroyed appropriately in line with policy	Green	Green	Red	Amber	Amber	Amber	Amber	Amber	Amber	Amber	Amber	Green	Red	Red	Amber	3	9	3	0
1.5	are there controls in place to protect information held by the school?	Green	Green	Amber	Green	Green	Amber	Amber	Green	Amber	Green	Amber	Green	Green	Amber	Green	0	6	9	0
1.6	Are council procedures adhered to policy for personal data re staff and pupils.	Green	Green	Amber	Amber	Amber	Amber	Amber	Green	Amber	Green	Amber	Green	Red	Red	Green	2	5	8	0
1.7	How are records retained in the school managed in accordance with the policy? do you have a data management officer responsible for this?	Green	Green	Red	Amber	Amber	Amber	Amber	Amber	Amber	Green	Amber	Green	Red	Green	Amber	3	8	4	0
	Section G- Child Protection																			
1.1	Evidence that the Policy and Procedures for Child Protection, Allegations of Abuse Against Members of Staff, Whistle Blowing, have been read and understood by all school staff.	Green	Green	Green	Amber	Green	Green	Green	Green	Green	Amber	Green	Green	Green	Green	Green	0	3	12	0

		CF 1502	CF 1503	CF 1504	CF1505	CF1506	CF 1507	CF1508	CF 1509	CF1510	CF 1511	CF1512	CF 1515	CF 1516	CF1517	CF 1518	NO	Partial	YES	N/A
1.2	Evidence that the annual Child Protection briefing has taken place and that all staff were present?	Green	Green	Green	Green	Orange	Green	Green	Green	Green	Green	Orange	Green	Green	Green	Orange	0	3	12	0
1.3	Evidence that all staff have completed Child Protection Level 1/2 in past 3 years?	Green	Green	Green	Green	Orange	Green	Green	Green	Green	Green	Orange	Green	Green	Green	Red	0	3	12	0
1.4	Designated Child Protection staff have completed Level 4 training in past 3 years	Green	Green	Green	Green	Green	Green	Green	Orange	Green	Green	Green	Green	Green	Orange	Green	0	3	12	0
1.5	HT has completed training in managing Allegations of Abuse Against Staff and Volunteers in the past 3 years.	Green	Green	Green	Green	Orange	Green	Green	Green	Green	Green	Green	Green	Green	Green	Red	0	3	12	0
Section H- Risk Matters																				
1.1	Evidence that the new Risk Matters briefing is part of the team meeting agenda.	Green	Green	Red	Green	Red	Green	Green	Green	Green	Green	Green	Green	Green	Orange	Red	2	2	11	0
1.2	Evidence that all staff are aware of this bulletine and have access to it.	Green	Green	Red	Green	Red	Green	Green	Green	Green	Green	Green	Green	Green	Orange	Red	2	2	11	0

|		CF1503		CF1507		CF1512		CF1515		CF1518	
		Self-assessment	Audit assessment	Self-assessment	Audit assessment	Self-assessment	Audit assessment	Self-assessment	Audit assessment	Self-assessment	Audit assessment

A **FINANCIAL CONTROLS**

1 I am provided with sufficient financial information by my Business Manager to allow me to manage within my budget.

2 Financial controls are in place to demonstrate completeness and accuracy of management of income and appropriateness of expenditure.

3 Cash and other assets / equipment are safeguarded
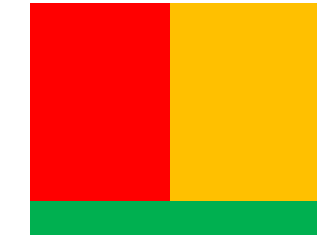
B **WORKFORCE CONTROLS**

1 Compliance with Key Corporate Policies and Procedures (as listed in Self Assessment questions) is embedded in the establishment

2 The Children & Families Essential Learning matrix is used as guidance for staff mandatory training. Headteachers and Establishment Managers discuss specific training requirements with their staff to ensure clarity.

3 Role specific training has been completed for H&S roles (first-aiders, fire wardens), and records are available.

4 Role specific H&S training for the SSO is up to date, and records are available.

5 There is evidence in place to demonstrate staff induction and PRD procedures are fully implemented
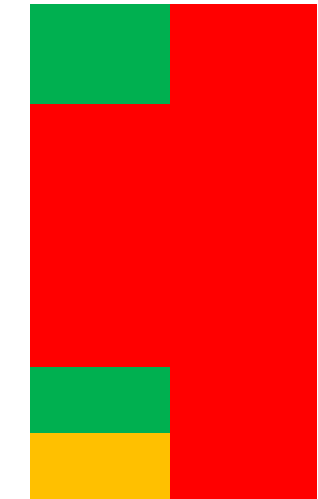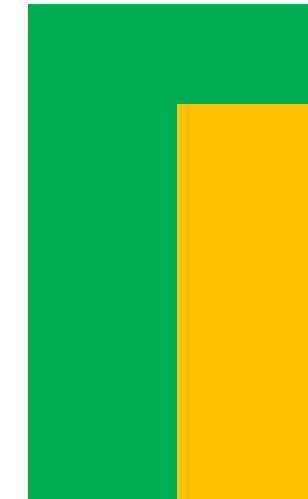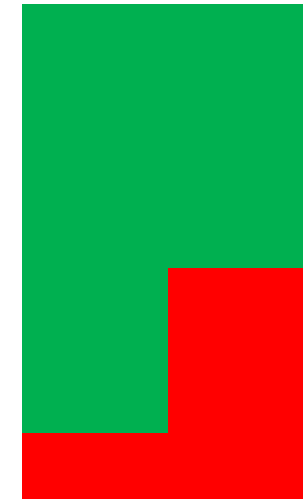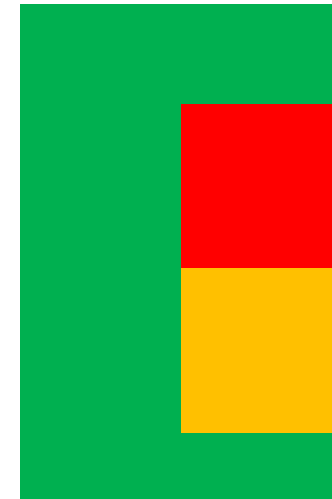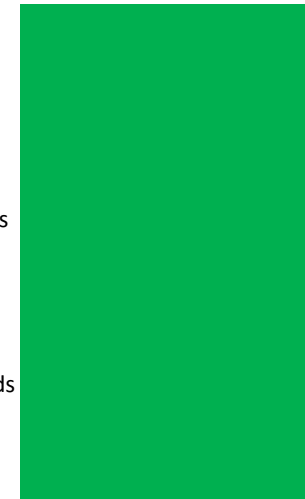
C **HEALTH & SAFETY**

1 Local roles and responsibilities for health and safety are defined and communicated. These are included in personal objectives (PRDs) for key roles.

2 Health and safety training (covering induction training, and C&F 'mandatory/essential' H&S training) has been completed and records are available.

3 H&S information and guidance is readily accessible and communicated to staff and pupils.

4 All significant H&S risks have been assessed (including life threatening safety risks) by competent person, and controls are in place that are deemed to be adequate by a competent person. The risk assessments are documented and dated, and are reviewed at least annually.

5 Adequate controls identified in the health and safety risk assessments are in place and are working effectively.

6 All statutory tests and inspections are up to date for teaching equipment, and records are available.

7 H&S Workplace Inspections are carried out.

8 Stress risk assessments are carried out as appropriate, and information on the Employee Assistance Programme has been communicated to all staff.

	CF1503		CF1507		CF1512		CF1515		CF1518	
	Self-assessment	Audit assessment	Self-assessment	Audit assessment	Self-assessment	Audit assessment	Self-assessment	Audit assessment	Self-assessment	Audit assessment
9 Adequate first-aid arrangements are in place, and communicated.	Green	Green	Green		Green	Green	Green	Green	Green	Amber
10 Fire safety and emergency response arrangements are in place, and communicated	Green	Amber	Green		Green	Amber	Green	Amber	Amber	Amber
11 There is a systematic approach in place to report and investigate all incidents, accidents and work-related ill health, to identify immediate and underlying causes – plus root causes for the more serious ones.	Green	Green	Green		Green	Green	Green	Green	Green	Green
12 There is a process in place to escalate and monitor health and safety risks and issues (including H&S audit/H&S workplace inspection actions), to ensure the required remedial action is taken.	Green	Green	Green		Green	Amber	Green	Green	Green	Amber
13 There are effective arrangements in place to ensure that health and safety is managed for works undertaken by contractors, including recording of contractor's visits.	Green	Green	Green		Green	Green	Green	Amber	Green	Green
14 There are effective arrangements in place to ensure the health and safety is managed for voluntary organisations (e.g. football clubs) that use the school's facilities.	Green	Green	Green		Green	Green	Green	Green	Red	Green

D PROPERTY & STATUTORY INSPECTION CONTROLS

	CF1503		CF1507		CF1512		CF1515		CF1518	
1 All statutory tests and inspections are up to date, and records are available.	Green	Green	Green		Green	Amber	Green	Green	Green	Amber
2 Information on the presence and location of asbestos is known, and is readily available.	Green	Green	Green		Green	Green	Green	Green	Green	Green
3 The condition of asbestos is inspected in accordance with the asbestos plan, and records are available.	Green	Amber	Green		Green	Amber	Green	Green	Green	Green
4 There is adequate maintenance, testing and inspection of the water management system	Green	Amber	Green		Green	Green	Green	Green	Green	Amber
5 Playground equipment has been inspected in the past 12 months.	Red	Red	Green		Green	Green	Green	Green	Red	Red
6 Fixed gym equipment has been inspected in the past 12 months.	Red	Red	Green		Green	Green	Red	Amber	Red	Red
7 Window restrictors' suitability check has been carried out in the past 12 months.	Green	Green	Green		Red	Red	Amber	Red	Red	Red
8 There is segregation between vehicles and pedestrians.	Green	Green	Green		Green	Green	Red	Red	Green	Green

E RESILIENCE

	CF1503		CF1507		CF1512		CF1515		CF1518	
1 The school management team have attended Significant Occurrence training. All staff have been briefed on the procedure and roles/responsibilities are defined.	Green	Green	Green		Green	Amber	Green	Amber	Red	Red
2 Staff are familiar with the following contingency arrangements and roles/responsibilities are defined: Children & Families Severe Weather Arrangements Children & Families Reporting Infection Outbreak Procedures	Green	Green	Green		Green	Green	Green	Amber	Red	Green
3 Emergency contact details are kept and updated for staff.	Green	Green	Green		Green	Amber	Green	Amber	Green	Red
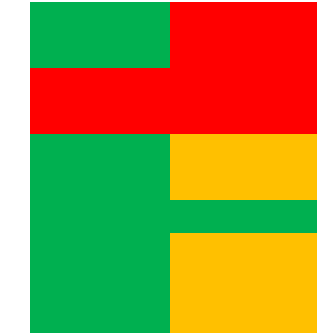
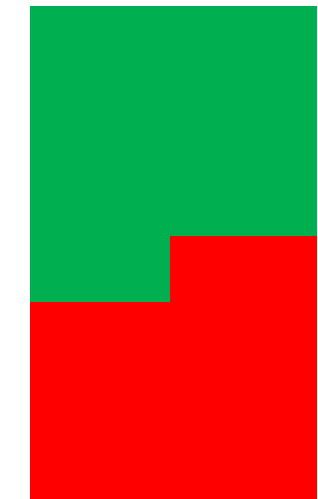|		CF1503		CF1507		CF1512		CF1515		CF1518	
		Self-assessment	Audit assessment	Self-assessment	Audit assessment	Self-assessment	Audit assessment	Self-assessment	Audit assessment	Self-assessment	Audit assessment
F	**INFORMATION SECURITY**										
1	Staff and new staff are knowledgeable on Information Governance.										
2	Information Governance Essential Learning (Cecil e-learning) is undertaken by all school staff.										
3	Information is routinely destroyed in line with CEC retention schedules.										
4	Information is adequately protected by staff.										
5	Council procedures for personal or other data requests for example pupils/client information are used.										
6	CEC procedures are used to manage records.										
G	**CHILD PROTECTION**										
1	The policy and procedure on Child Protection, Allegations of Abuse Against Members of Staff and the Council's Whistle-blowing policy has been shared with staff.										
2	Staff have had their annual Child Protection briefing at the beginning of term (August) as a reminder of their role in the Child Protection Process.										
3	Staff have undertaken Child Protection Level 1/2 in the past three years.										
4	All designated members of staff for Child Protection have undertaken a level 4 child protection training course within the last three years.										
5	The Headteacher has undertaken training in Managing Allegations of Abuse Against Staff and Volunteers within the last three years.										
H	**RISK MATTERS**										
1	Risk Matters the new Children & Families risk newsletter is shared with the staff at team meetings										
	Red	2	2	0	1	2	6	2	2	16	18
	Amber	0	8	0	10	2	15	3	19	2	15
	Green	43	35	45	34	41	24	40	24	27	12