

# Governance, Risk and Best Value Committee

10.00am, Thursday, 2 February 2017

## Communities and Families Assurance Framework

Item number 7.1  
Report number  
Executive/routine  
Wards

### Executive summary

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This is the second year of the Communities and Families Assurance Framework, which combines a Local Assurance Statement completed by the Head Teacher or Unit Manager of each establishment with a programme of 15 audit visits undertaken by a combined Internal Audit, Corporate Health and Safety and Information Governance team.

The Assurance Framework was extended this year to include early years centres, community centres and residential centres as well as schools.

This report outlines the key themes emerging from the audit visits and also our recommendations to facilitate improvement in Communities and Families establishments' control environments.

### Links

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Coalition pledges  
Council outcomes  
Single Outcome Agreement

## Communities and Families Assurance Framework

### 1. Recommendations

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- 1.1 It is recommended that the Committee notes this report.

### 2. Background

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- 2.1 The Communities and Families Assurance Framework launched as a pilot in 2015/16. It combined a Local Annual Assurance Statement completed by the Head Teacher of each school and a validation programme of 15 audit visits undertaken by a combined Internal Audit and Corporate Health and Safety team.
- 2.2 We used the experience gained from the 2015/16 pilot and the feedback that we received both from individual schools and from other stakeholders to review and strengthen the Assurance Framework for 2016/17. We expanded the Local Assurance Statement and validation checklists to include Equalities and Facilities Management, and strengthened the areas of ICT and Information Governance with Information Compliance Officers joining the audit team to assess these areas.
- 2.3 The Assurance Framework was also extended this year to include early years centres, community centres and residential centres as well as schools.
- 2.4 The 15 establishments visited were:

#### **Secondary Schools**

James Gillespies  
Portobello  
Wester Hailes  
St. Thomas of Aquins  
Leith Academy

#### **Primary Schools**

Buckstone  
Leith  
Flora Stevenson  
Royal Mile  
St. John Vianney RC

#### **Early Years Centres**

Fox Covert  
Cowgate Under 5s

#### **Community Centres**

Southside  
Jack Kane

#### **Residential Centre**

Edinburgh Secure  
Services (Howdenhall)

### 3. Main report

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#### Approach

- 3.1 The combined Internal Audit and Health and Safety team reviewed the controls in place at each establishment visited using a standard validation checklist which covered 9 different areas:

Health and Safety	Workforce controls
Property and Statutory Inspections	Resilience
Facilities Management	Information Technology
Finance	Child Protection
Equalities	

- 3.2 The validation checklist contained a breakdown of all processes and controls that would be expected for each of the nine areas. The combined audit 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 Information Compliance Officers from the Information Governance Unit (IGU) joined the audit team this year to pilot its Information Governance Maturity Model. This is an assessment across eight areas of Information Governance, which assesses how well the unit protects and manages its information. The eight areas assessed are:

Responsibilities	Decision making
Data quality	Data protection
Information Governance compliance	Availability of records
Retention of records	Disposal of records

- 3.4 The results of the Information Governance Maturity Model have helped the IGU identify specific areas of risk where teams require more corporate support. The Maturity Model will be rolled out across the Council and will allow the Council's overall maturity in terms of information governance to be cogently assessed and monitored.

#### Reporting of results

- 3.5 Each establishment 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.

- 3.6 We were pleased to see an improvement in the quality and speed of management responses received from the establishments this year, with only one return visit required to help a school improve its action plan, compared to seven return visits in 2015/16.
- 3.7 Each establishment visited will receive a copy of the Information Governance Maturity Model prepared for them, together with recommendations for improving their controls and processes in each area.
- 3.8 To supplement the individual establishment reports we prepared an overall report for Communities and Families analysing the results of the audit visits, identifying the key themes that emerged and making recommendations as to how Communities and Families as a Directorate can assist establishments in making improvements to their control environments. This overall report is attached as Appendix 1.

### **Going forward**

- 3.9 We were pleased to see a high level of engagement with the Communities and Families Assurance Framework this year, with active discussion about controls through the Communities and Families Risk Group and the school business managers group. The Assurance Framework is now an established part of the Communities and Families governance arrangements.
- 3.10 With a robust assurance statement and supporting guidance now in place, as well as engagement from schools and community centres, the next stage is for Communities and Families to take full ownership of the Assurance Framework and validation programme. Internal Audit will reduce its involvement in the Assurance Framework in 2017/18 and will not continue with the programme of visits to 15 establishments.
- 3.11 We recommend that Communities and Families sets up a programme of peer reviews to replace the Internal Audit component of the programme. Health and Safety will continue with a rolling programme of audit visits as the Health and Safety audit requires technical expertise Communities and Families cannot be expected to provide.
- 3.12 Internal Audit plan to undertake an audit towards the end of 2017/18 to review whether Communities and Families have been able to successfully embed and sustain the programme.

#### **4. Measures of success**

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- 4.1 A strengthened governance framework and control environment in schools.

#### **5. Financial impact**

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- 5.1 No direct financial impact.

#### **6. Risk, policy, compliance and governance impact**

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

#### **7. Equalities impact**

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

#### **8. Sustainability impact**

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

#### **9. Consultation and engagement**

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

#### **10. Background reading / external references**

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- 10.1 None

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## Links

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**Coalition pledges**

**Council outcomes**

**Single Outcome  
Agreement**

**Appendices**

Appendix 1 – Communities and Families Assurance Framework –  
Thematic Report

# ***The City of Edinburgh Council*** **Internal Audit**

## **Communities and Families Assurance Framework**

Final Report

January 2017

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This internal audit review is conducted for the City of Edinburgh Council under the auspices of the 2016/17 internal audit plan approved by the Governance, Risk and Best Value Committee in March 2016. The review is designed to help the City of Edinburgh Council assess and refine its internal control environment. It is not designed or intended to be suitable for any other purpose and should not be relied upon for any other purpose. The City of Edinburgh Council accepts no responsibility for any such reliance and disclaims all liability in relation thereto.

The internal audit work and reporting has been performed in line with the requirements of the Public Sector Internal Audit Standards (PSIAS) and as a result is not designed or intended to comply with any other auditing standards.

Although there is a number of specific recommendations included in this report to strengthen internal control, it is management's responsibility to design, implement and maintain an effective control framework, and for the prevention and detection of irregularities and fraud. This is an essential part of the efficient management of the City of Edinburgh Council. Communication of the issues and weaknesses arising from this audit does not absolve management of this responsibility. High and Critical risk findings will be raised with senior management and elected members as appropriate.



# Executive summary

This was the second year of the Communities and Families Assurance Framework, which combines a Local Assurance Statement completed by the head teacher or unit manager of each establishment, with a programme of audit visits by Internal Audit, Corporate Health and Safety and Information Governance.

The Assurance Framework was extended this year to include early years centres, community centres and residential centres.

Administration is devolved to Communities and Families establishments, and each establishment is responsible for developing satisfactory processes to implement corporate policies and manage areas of risk. The Assurance Framework seeks confirmation that these processes are in place. In its second year the Framework covered:

- Health & Safety;
- Property & Statutory Inspections;
- Facilities Management Health & Safety;
- Finance;
- Workforce controls;
- Resilience;
- Information Technology;
- Child Protection;
- Equalities; and
- Information Governance.

Internal Audit, Corporate Health and Safety and Information Governance visited 15 establishments to assess the internal controls and processes in place. Each establishment 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 follows up on areas highlighted in 2015/16 where it was felt that establishments would benefit from additional support and guidance from the corporate Communities and Families team.

# Background

This is the second year of Communities and Families Assurance Framework, which is designed to inform and support the Executive Director of Communities and Families' annual assurance statement and enhance the Communities and Families control framework.

The core of the Assurance Framework is a Local Annual Assurance Statement which each head teacher or unit manager completes in January each year to confirm the controls in place in their establishment and highlight any areas of risk which they feel are not being managed effectively.

This has been supported by Internal Audit, Corporate Health and Safety and Information Governance in the past 2 years with a programme of visits to 15 establishments to assess the controls in place at the establishments visited. The areas covered by the Assurance Framework are:

- Health & Safety;
- Property & Statutory Inspections;
- Facilities Management Health & Safety;
- Finance;
- Workforce controls;
- Resilience;
- Information Technology;
- Child Protection;
- Equalities; and
- Information Governance.

The assurance checklists used by Internal Audit, Corporate Health and Safety and Information Governance are attached in **Appendix 1 together with the detailed results of our audit work.**

The findings were discussed with the head teacher or unit manager 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 establishments selected for audit in 2016 were:

## **Secondary Schools**

James Gillespies  
Portobello  
Wester Hailes  
St. Thomas of Aquins\*  
Leith Academy

## **Primary Schools**

Buckstone  
Leith  
Flora Stevenson  
Royal Mile  
St. John Vianney RC

## **Early Years Centres**

Fox Covert  
Cowgate Under 5s

## **Community Centres**

Southside  
Jack Kane

## **Residential Centre**

Howdenhall

\*No Health & Safety audit was carried out, as St Thomas of Aquins High School was visited as part of the Health & Safety Assurance Programme in 2015/16.

# The 2016 Assurance Framework

There were a number of changes to the Communities and Families Assurance Framework to embed the programme in 2016 and respond to feedback from its first year.

## Scope of the Assurance Framework

After a successful pilot in schools which generated detailed management information and encouraged a focus on the control environment, it was decided to extend the Assurance Framework to early years centres, residential centres and community centres. The Assurance Framework will also be launched for libraries in 2017/18.

The checklist was adapted for community centres and early years centres as they have a different range of responsibilities to schools. For example, finance is not delegated to the same extent, with centre budgets managed by the Community and Families Finance Team. However, centres do regularly handle cash (lunch money, for example) and, in the case of community centres, Council officers based at the community centre may manage day-to-day finances on behalf of the centre's Management Committee, which is an independent registered charity.

Both community centres performed well in the audits, and were assessed as 'green' in all administrative areas except for finance at one community centre. Both found that with only one Community Learning & Development (CLD) worker and a part-time administrator it was difficult to maintain segregation of duties over finance. However, one community centre overcame this with regular and detailed scrutiny of financial records by the Management Committee's treasurer.

## Communities and Families Risk Group

The Communities and Families Risk Group includes head teachers and senior managers from Communities and Families. The Risk Group has been very supportive of the Assurance Framework, and have developed a '40-week plan' to help schools continuously review the controls they have in place throughout the school year, with a different area of focus each week. The 40-week plan supports the Local Annual Assurance Statement head teachers complete in January each year.

## Facilities Management

Feedback from head teachers on the 2015 Local Annual Assurance Statement highlighted that they were asked to sign off on aspects of Health & Safety over which they had no control, because those areas were the responsibility of Facilities Management.

To address this, areas which are the responsibility of Facilities Management were considered separately in the 2016 Local Annual Assurance Statement and audit checklist. The area facilities manager was asked to be on site during the audit to respond to questions from the Health & Safety advisor.

This has had mixed success. It has highlighted areas where Facilities Management controls are poor across the Communities and Families estate (see detailed results in **Section C**). However, we have struggled to obtain satisfactory management responses from Facilities Management. At the time of writing, we have received only four satisfactory responses from Facilities Management. In contrast, we have received satisfactory management responses for all other areas from 13 of the 15 establishments visited (and the two remaining are not yet overdue).

## Information Governance

Information Governance is a key area of focus across the Council. This section of the Local Annual Assurance Statement was expanded in 2016, and Information Compliance Officers joined the audit teams in their visits to the 15 establishments. An overview of their findings is included in **Section J**. Each establishment will also be provided with a maturity assessment and an action plan.

## Communication and Engagement

Our 'lessons learned' review of the 2015 assurance framework identified that 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 in the audit programme, and difficulties agreeing audit findings and management actions with the schools.

It also meant that there was a delay in communicating significant control findings to key corporate officers.

We focussed on early communication and engagement in 2016, with initiatives including:

- Launch of the 2016 Assurance Framework at Head Teachers' and Business Managers meetings;
- Early communication of audit dates, and pre-audit meetings with the unit manager and business manager two weeks before fieldwork;
- Refresh of the Local Annual Assurance Statement, guidance and audit checklist in consultation with key corporate officers and the Communities and Families Risk Group;
- The 2016 Local Annual Assurance Statement has been launched as an online questionnaire, to make it easier for unit managers to respond, and enable Communities and Families to analyse and make better use of the results; and
- High risk audit findings are now shared with key corporate officers when the draft report is issued, to give the establishment immediate access to support.

We were pleased to see a high level of engagement with the Assurance Framework this year, and active discussion about controls through the Risk Group and business managers groups. A particularly encouraging development has been the establishment of a business managers working group. This is a group of experienced primary and secondary school business managers who are developing an online 'business manager's toolkit' to share good practice and provide a forum for colleagues to seek advice and support.

# Future of the Assurance Framework

The Communities and Families Assurance Framework has matured in the past year and is now an established part of the Communities and Families governance arrangements.

With a robust assurance statement and supporting guidance now in place, as well as engagement from schools and community centres, the next stage is for Communities and Families to take full ownership of the Assurance Framework and validation programme. Internal Audit will reduce its involvement in the Assurance Framework in 2017/18 and will not continue with the programme of visits to 15 establishments.

We recommend that Communities and Families sets up a programme of peer reviews to replace the Internal Audit component of the programme. We have already seen the 'buddy' system, where experienced business managers support colleagues in other schools, work well. example this year was a visit by an office administrator from Royal High to Portobello High School in advance of their audit to review their financial processes and make recommendations on how they could be approved. Royal High made a number of very practical recommendations, which the school had put into practice by the time we visited.

Corporate Health and Safety will continue with a rolling programme of audit visits as the Health & Safety audit requires technical expertise Communities and Families cannot be expected to provide.

Internal Audit are planning to undertake an audit towards the end of 2017/18 to review whether Communities and Families have been able to successfully embed and sustain the programme.

# Findings

## A: Health and Safety Controls

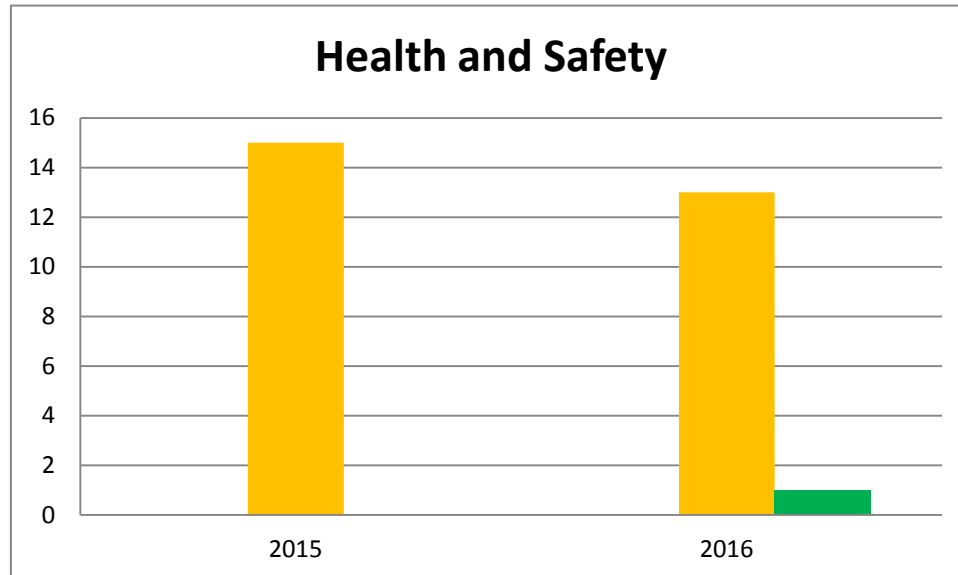


Fig. A.1: RAG Status (Health and Safety)

### Current Year Overview

Whilst making a comparison between last year's programme and this year's it should be noted that changes have been made to the question set used, including moving the facilities management health and safety considerations to a separate section. This affects the comparable scores, particularly for the questions on training, risk assessments and controls.

Overall the majority of establishments indicated partial compliance (amber), as per last year, whilst there was one establishment this year that achieved an overall compliance rating (green). Overall compliance (green) is challenging to achieve as there are 86 questions across 15 subject areas in the Health and Safety section. When compared with last year there is some evidence of improvement in compliance for 8 subject areas, with four areas assessed as less compliant than last year and 3 areas with no significant change.

The most common areas requiring improvement overall this year were statutory inspections for teaching equipment, fire safety, risk assessments and risk assessment controls.

### Health and safety roles and responsibilities

Health and safety roles and responsibilities were generally clear and understood. 11 of 14 (79%) establishments were assessed as compliant (green), which compares with 6 of 15 (40%) last year.

### Health and safety training

Whilst induction training was generally carried out, some establishments should carry out an overall

review of health and safety training provision. 10 out of 14 (71%) establishments were assessed as compliant for health and safety training compared with none of the 15 (0%) last year. The change in questions has undoubtedly impacted on this as the question on essential learning/ mandatory health and safety training was removed this year.

### **Health and safety communications**

Communication arrangements for health and safety were generally good with information displayed and health and safety included in unit / department meetings. 11 of 14 (79%) establishments were assessed as compliant (green), which compares with 9 of 15 (60%) last year.

### **Health and safety risk assessments and controls**

There were variable findings for health and safety risk assessments. There were some good quality risk assessments, however there were also some gaps identified. Risk assessments were not in place for some activities and also, some risk assessments require annual review and updating.

### **Statutory tests and inspections for teaching equipment**

There was a lack of evidence that portable gym equipment was being inspected. Inspections of fixtures for wall and ceiling mounted equipment were not in place for the majority of establishments visited that had these.

### **Health and workplace inspections/ Housekeeping**

Workplace inspections are required to be carried out quarterly/ termly and there were some gaps in this identified. 7 of 14 (50%) establishments were assessed as compliant (green) overall for workplace inspections and housekeeping compared with five of 15 (33%) last year. There was evidence of good cleaning and housekeeping.

### **Stress/ Employee Assistance Programme**

There was a marked improvement in this area with 12 out of 14 (86%) establishments assessed as compliant (green) compared with two out of 15 (13%) last year.

### **First-aid arrangements**

First aid arrangements were in place for most establishments, with some gaps in information displayed and defibrillator checks. 13 out of 14 (93%) establishments were assessed as compliant (green) for having an adequate number of trained first aiders which compares with 15 out 15 (100%) last year.

### **Fire safety**

No establishment was assessed as overall compliant (green) for fire safety which compares with 6 out of 15 (40%) establishments last year. Some fire signage was missing at 11 out of 14 (79%) establishments visited, most of which included fire action notices. Fire safety training was also lacking or refresher courses required. There were generally good controls evidenced for having nominated individuals for fire safety, fire wardens, escape routes and fire extinguishers.

### **Emergency response**

This sections includes lift breakdowns, swimming pool emergencies, bomb threats and emergency shut-offs. Emergency response procedures were in place and available for most establishments with 12 out of 14 (86%) assessed as compliant (green) which is an improvement on 7 out of 15 (47%) last year.

### **Reporting and investigation of incidents**

All 14 establishments reported and investigated incidents, accidents and work-related ill health cases and communicated incident reporting information to all staff. Last year there were 14 out of 15 (93%) assessed as compliant (green) in this area.

### **Escalation and monitoring of H&S risks and issues**

This area was mostly compliant (green) across the establishments, with non compliance at one establishment for risk notification procedure and some gaps identified at five establishments for tracking of actions identified in workplace inspections and audits.

### **Control of contractors**

Control of contractors was found to be mostly compliant across the 14 establishments. A number of questions in this section were marked as not applicable as they were not managed by the establishment.

### **H&S arrangements with voluntary organisations**

Eight out of 10 (80%) establishments provide health and safety information including emergency procedures to organisations that use the facilities. At the other four establishments this was assessed as not applicable.



## B: Property & Statutory Controls

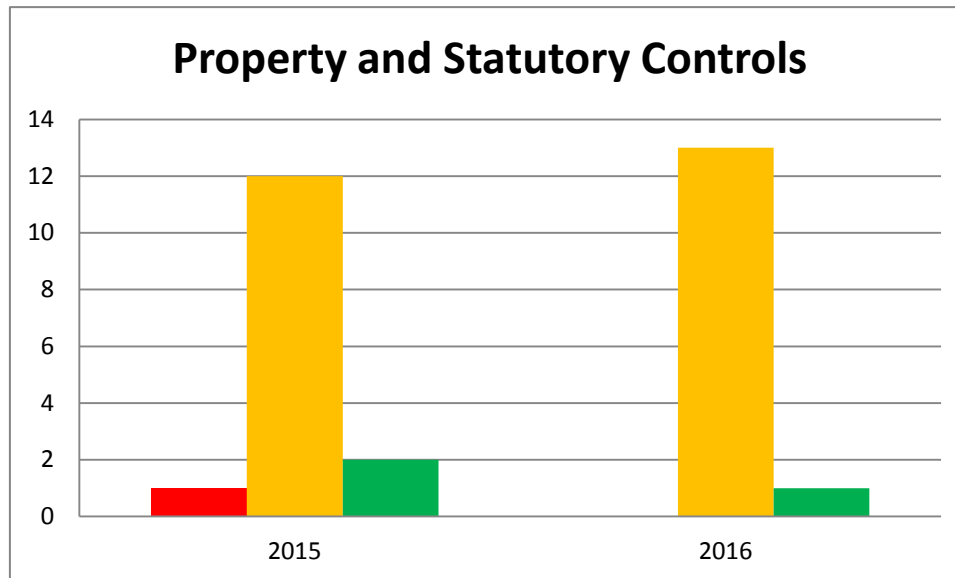


Fig. B.1: RAG Status (Property & Statutory Controls)

### Current Year Overview

As last year, the majority of overall ratings for this section were partially compliant (amber). None of the establishments were assessed as non compliant (red) overall for this section this year, however only one establishment (7%) scored an overall compliant (green) compared with two last year (13%). Since the audits, Portobello High School has relocated to new premises and so many of the findings relating to property issues in that audit are no longer relevant. Overall this year, whilst some checks were in place and documented such as portable appliance testing there was a lack of evidence available for some other inspections and checks including playground equipment, window restrictors and regular walk rounds.

### Statutory inspections and tests

Portable appliance testing and gas safety checks were found to be up to date with records available at all establishments. Some gaps were identified across the establishments for other statutory inspections and tests such as lightning conductors and fixed electrical systems.

### Asbestos

Some gaps were identified in asbestos management. Five out of 14 (36%) establishments did not have an asbestos management plan available.

### Water safety

*Legionella* risk assessments were in place in 13 out of 14 establishments (93%). All establishments had evidence of *legionella* control testing being carried out in compliance with Health & Safety Executive guidance document 'L8'; however one establishment lacked some records.

### Playground equipment

A new specific question on natural playgrounds has been added this year. There was a lack of inspection records available for playground equipment including, where applicable, natural playgrounds. This was also the case in 2015 for fixed playground equipment.

### **Window restrictors**

Most establishments did not have records of window restrictor checks being carried out. 9 out of 14 (64%) establishments were assessed as non compliant (red) compared with 6 out of 15 (40%) last year.

### **Traffic Management**

Good arrangements for traffic management were in place for most establishments (7 of 10, 70%) where this was relevant.

### **Condition Surveys**

Whilst condition surveys were considered as part of the programme this year, records of these were not available on site. Further information from Strategic Asset Management showed that 10 of 14 (71%) establishments had condition surveys carried out within the last five years for their current building (at the time of audit). Of the other four establishments, two had new buildings and two had been surveyed within the last seven years. An estate wide condition audit is due to be carried out during 2017 followed by a five-year rolling programme.

### **FM Walk Round Inspections**

There was a lack of documented evidence at 10 out of 14 (71%) establishments that walk round checks were being carried out by Service Support Officers (Janitors). This was attributed in part to the checklists being withdrawn from use by Property and Facilities Management following feedback from Trade Unions on the volume of work and capability needed to complete these. 7 out of 10 (70%) establishments that did not have any documented evidence gave verbal confirmation that walk round checks were still being carried out.

## C: Facilities Management Health and Safety

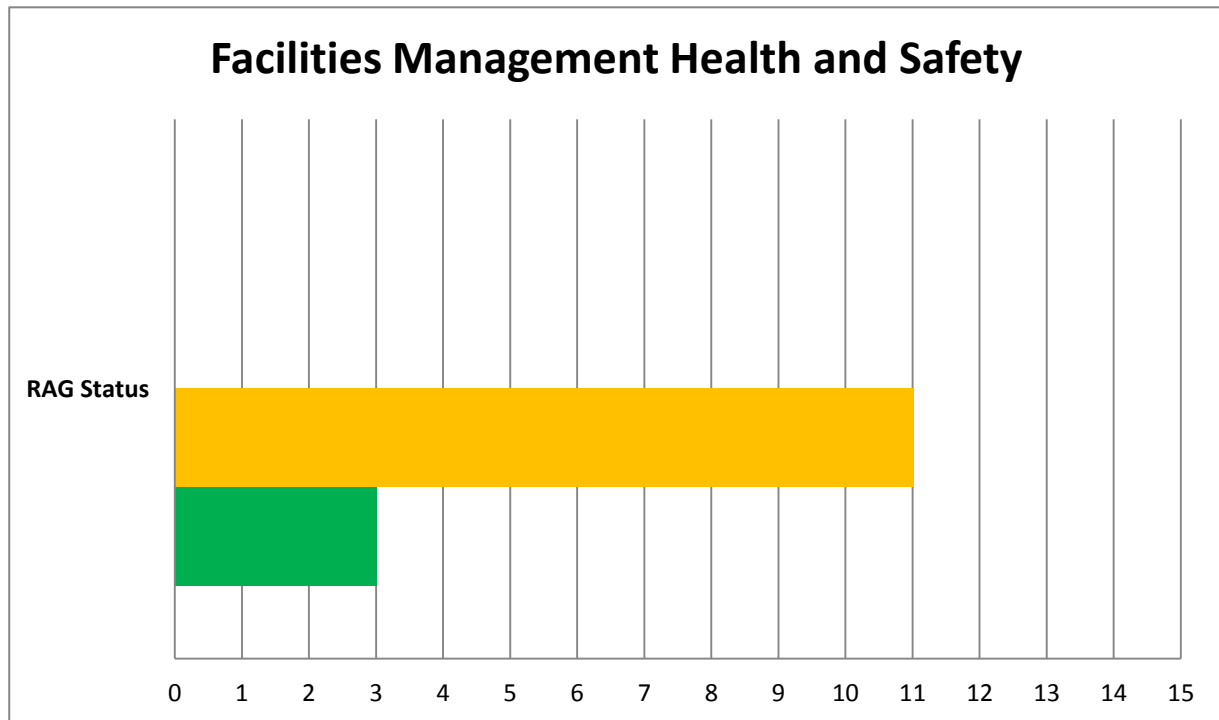


Fig. C.1: RAG Status (Facilities Management Health and Safety)

### Current Year Overview

This section was not included separately in the 2015/16 pilot assurance programme and so comparable scores are not available. It was however highlighted last year that there was a lack of health and safety risk assessments for activities undertaken by Service Support Officers (Janitors). Overall this year, there was evidence of training, risk assessments and risk assessment controls in place for Facilities Management personnel and activities, however there were some gaps which are highlighted below.

### FM Health and Safety Training

Training needs analysis was identified as being required at 8 out of 14 (57%) establishments, mostly for Service Support Officers (Janitors).

### FM – H&S Risk Assessments and Controls

Whilst there were health and safety risk assessments in place, many of these were generic in nature and a need for more site/ job specific risk assessments was identified, including those relating to manual handling. Evidence was not available at four out of 14 (29%) establishments for ladder registers.

## D: Financial Controls

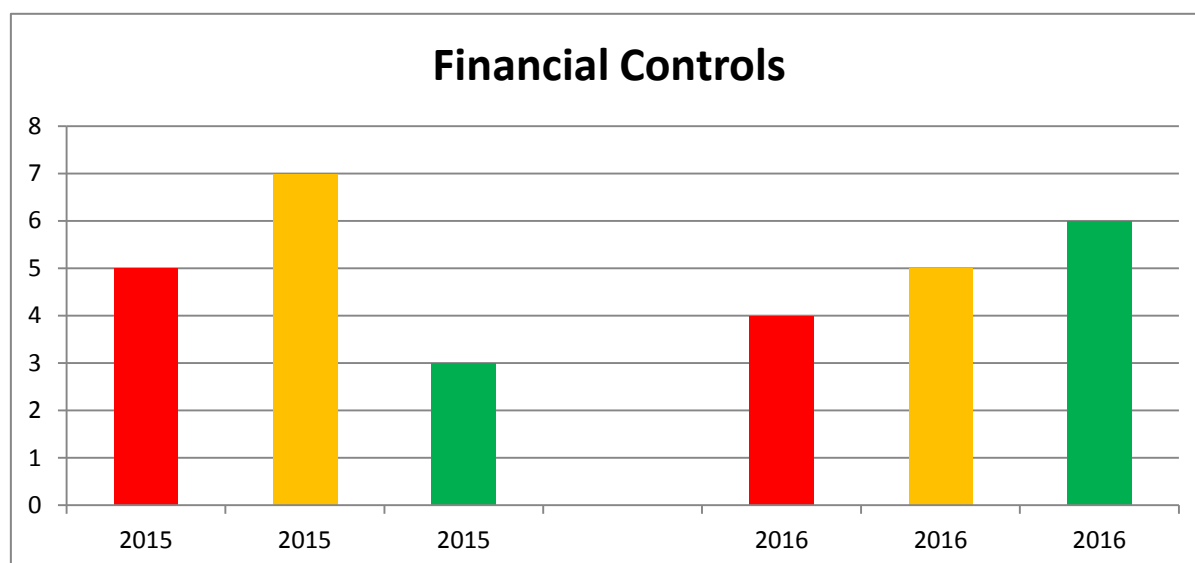


Fig D.1: RAG Status (Financial Controls)

### Current Year Overview

We were pleased to see an increase in the number of establishments assessed as 'green' from 3 (20%) in 2015 to 6 (40%) this year. Establishments with strong financial controls had experienced office management teams operating simple, yet effective, cash handling systems.

There were four establishments assessed as 'red'. These establishments had poor financial records and were unable to demonstrate segregation of duties over key financial processes.

### ParentPay

As last year, there was no consistent approach to financial processes and, as a result, the strength of financial controls was dependent on whether or not the establishment had an experienced management team and established office staff.

A new online payments system, ParentPay, will be rolled out to schools and early years centres early next year alongside simple accounting software, Pebble. This should reduce reliance on individual skill and experience, and help embed a standardised approach with some controls built into the accounting software.

However, as observed at two of the schools assessed as red, accounting software does not guarantee good financial controls. Both schools had accounting software, but had not recorded income and expenditure transactions for several months leading up to our audit visit. Card payments will be recorded automatically on Pebble through ParentPay, but schools will still need to record expenditure and income received by cash and cheque, monitor outstanding income, and reconcile Pebble to their bank statement each month.

### Budget Monitoring

- Improvements were noted in relation to the quarterly submission and monitoring reports that establishments send to the Communities and Families finance team. While no school failed completely in this area in 2015, head teachers were able to demonstrate a more proactive

approach to ownership and review of their budgets this year. This means that they are aware of their financial position throughout the year, allowing any potential overspend to be addressed by the school's management team and Communities & Families.

- Budgets for early years centres, community centres, and residential centres are not devolved to the same extent. All were able to show evidence of regular scrutiny of centre budgets and conversations with the Communities and Families finance team.

### ***Income and Banking process***

- Many establishments visited were unable to demonstrate adequate segregation of duties over income collection (5 'amber', 3 'red'), or provide a full audit trail from the point income was received from the pupil or parent to banking (4 'amber', 3 'red'). This was consistent with 2015.
- There was limited oversight of the banking process, with only 4 business managers able to demonstrate that they periodically checked income prepared for banking.
- As noted, parents will be able to pay for school trips etc online with the introduction of ParentPay in 2017, which will reduce the amount of cash handled by the school. However, there is likely to be a sizeable number of parents who still prefer to pay by cash or cheque so schools will still need robust income and banking processes in place.

### ***Bank reconciliations***

- Nine of the 15 establishments were able to demonstrate that bank reconciliations were completed each month and any errors were investigated. This was consistent with 2015.
- Bank reconciliations were reviewed each month by a member of the school or centre management team at 7 establishments (5 in 2015).

### ***Authorisation of expenditure***

- Thirteen establishments were able to provide receipts for expenditure, and demonstrate that expenditure was appropriate (10 in 2015).
- However, 7 establishments did not have a process in place to ensure expenditure was authorised in advance by an appropriate member of staff (8 in 2015).

### ***Recording and Security of Cash***

- Of the establishments audited in 2016, fewer used petty cash than in 2015 with many choosing to use procurement cards instead. The establishments that did make use of petty cash, with the exception of the four who were scored as "red", largely had good records of petty cash disbursements, and reconciled cash in the tin to the cashbook at least quarterly.
- Ten of the establishments visited held cash securely in an insured safe, with a further two holding it in a cash tin in a locked drawer.

## E: Workforce Controls

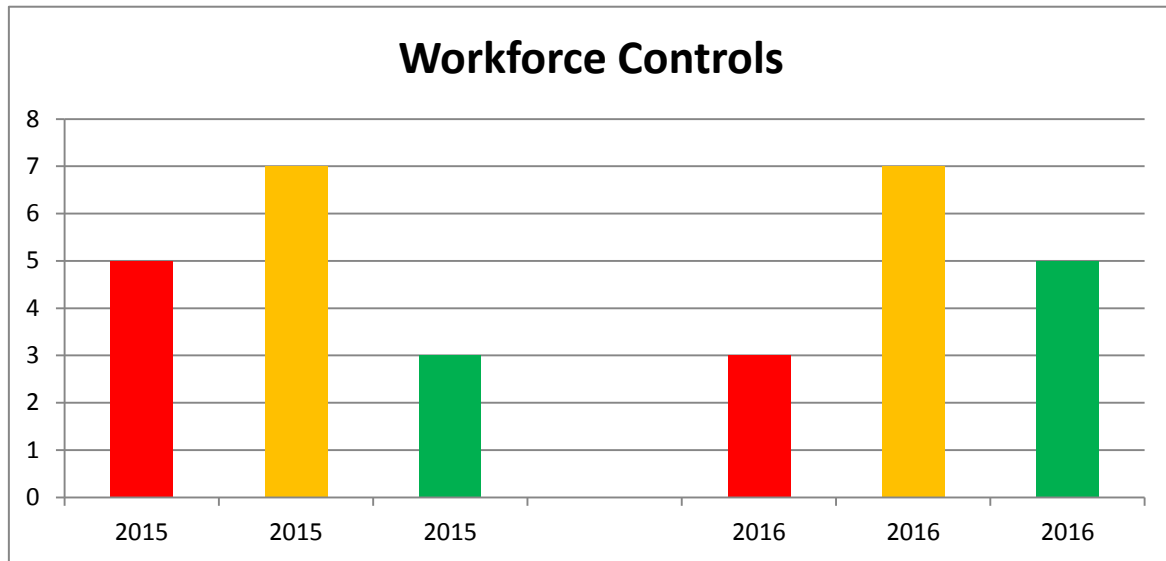


Fig. E.1: RAG Status (Workforce Controls)

### Current Year Overview

Marginal improvements were seen from 2015 to 2016 in relation to workforce controls. Broadly speaking, establishments managed pre-employment checks, staff induction and essential learning well, but absence management and professional development varied considerably from establishment to establishment.

### Essential Learning

- There was a marked improvement in completion rates for the annual essential learning on key policies and procedures. 11 of the 14 establishments whose staff were required to complete the essential learning were able to demonstrate that staff had completed their essential learning, compared to only 6 in 2015. One establishment had opened in 2016, so staff had all completed the induction programme within the year.
- However, only 8 of the 14 recorded essential learning on iTrent, so staff at those establishments will not be included in the Council's completion statistics.

### Registers of interests, gifts and hospitality

- Business managers in all establishments were aware of the requirement to record potential conflicts of interest. However, many indicated that they were uncertain what would constitute a 'conflict of interest'. Only four establishments maintained a register of interests or asked staff to declare potential conflicts of interest, which was consistent with 2015.
- Similarly, all business managers were aware of the requirement to keep a register of gifts and hospitality. However, only 6 establishments did so.

### ***Performance (non-teaching staff)***

- Establishments must complete annual performance reviews with all staff at grade 5 or above, and record their assessment on iTrent. Only 7 establishments could demonstrate these were carried out for all staff (8 in 2015). We note that a number of the establishments encountered problems when uploading data to iTrent.

### ***Recording Sickness and Absence Management***

- The recording of sickness absence was not consistent across the establishments visited. In two schools assessed as “red” sickness absence was not always recorded on iTrent. All sickness absence should be recorded on iTrent to support the Council’s statutory reporting requirements.
- This is an area where improvements are required. Only 5 establishments were able to show that they identify trigger dates for frequent and long-term absences and follow the Council’s ‘Managing Attendance’ policy.

## F: Resilience

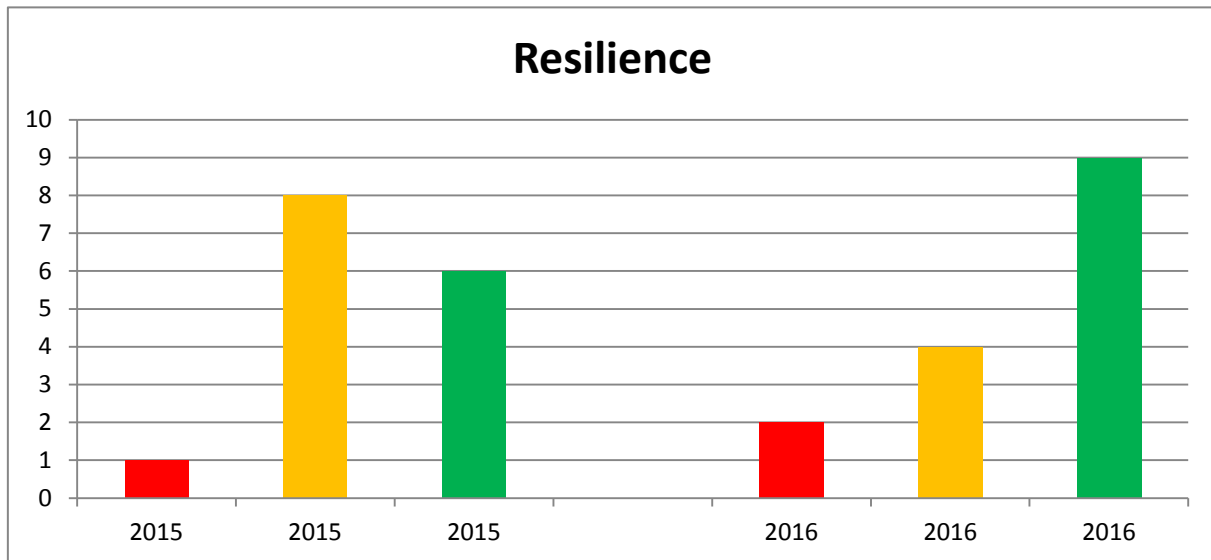


Fig. F.1: RAG Status: Resilience

### Current Year Overview

We were pleased to see the number of schools assessed as 'green' for resilience increase to 9 in 2016 (60%) from 6 in 2015 (40%).

The two schools assessed as 'red' did not have staff who had completed resilience training, had not communicated contingency arrangements to staff, did not have accessible and up-to-date emergency contact lists, and had not documented key procedures.

### Significant Occurrence training

- Business managers and head teachers are expected to attend the Communities and Families Significant Occurrence training at least once every three years. At least two members of the senior management team had completed this training at 8 of the 13 schools and early years centres visited (62%), compared to 8 of the 15 schools visited in 2015 (51%). CLD workers are not required to complete this training.
- Three schools were assessed as 'amber' where only one member of staff had completed the training.

### Contingency Arrangements

- Contingency arrangements for severe weather, significant occurrences and infection outbreaks had been communicated to staff at 12 of the 15 establishments visited, compared to 14 out of 15 schools in 2015. Establishments prepared 'red button folders', displayed crib sheets, and briefed staff on in service training days.
- 12 of the 15 establishments visited had up-to-date emergency contact lists in easily accessible locations. Last year, 10 of the 15 schools visited had up-to-date emergency contact lists.
- A new question for 2016 was whether key procedures were documented. An office administrator had left one school unexpectedly in early 2016. No one else at the school was able



to use the accounting software, so there was a large backlog of financial transactions by the time of our audit visit. Documenting key procedures helps ensure business can continue as normal if staff leave. Seven establishments had done this.

## G: Information Technology

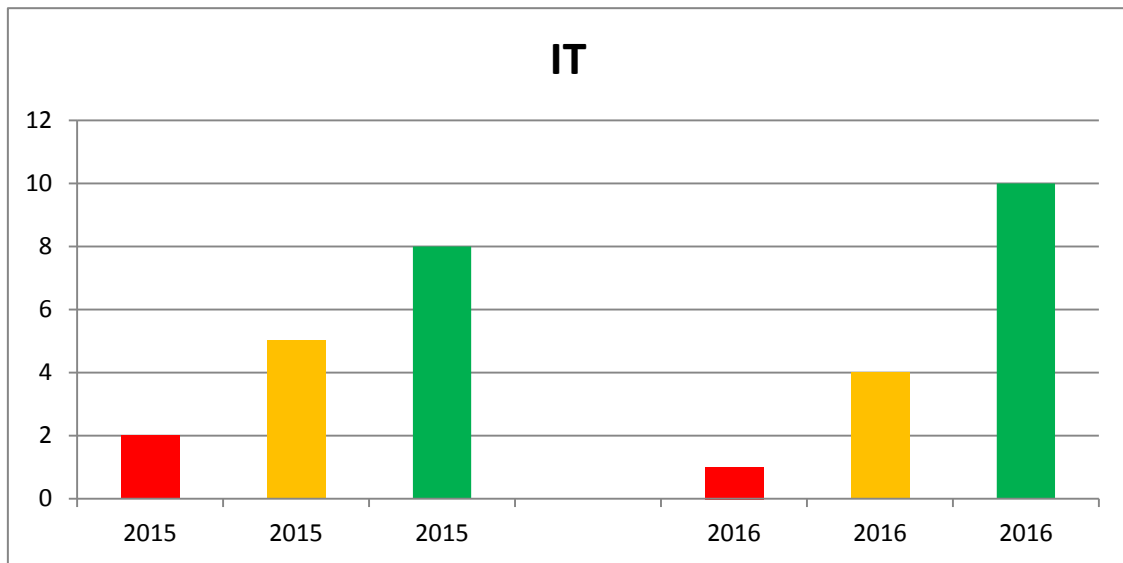


Fig. G.1: RAG Status: IT

### Current Year Overview

The audit criteria in 2016 were expanded from the previous year, making a like-for-like comparison difficult. In 2015, we asked whether schools kept an asset register. In 2016, we also asked about the establishment's process for removing system access and recovering iPads and laptops when a member of staff or pupil left.

The establishments with the most effective systems were the ones where a technologically proficient member of the teaching staff took an active role in co-ordinating IT.

Other establishments scoring highly relied on external IT technicians. However, the establishment assessed as 'red' and one of the three establishments assessed as 'amber' relied on external IT technicians who they were unable to contact around the time of our audit. Both establishments were therefore unable to provide full asset registers.

### Asset registers

- The recording of equipment and high value/desirable items was generally good across the establishments visited, with 12 establishments holding a full, up-to-date asset register, and one further establishment holding an asset register of iPads and laptops but not other high value equipment.
- Two establishments were unable to provide an asset register. Both relied on a support member of staff with limited hours allocated to the establishment to co-ordinate their IT.

### Leavers

- 11 of the 15 establishments visited were able to demonstrate that system access was removed and iPads and laptops were retrieved when a member of staff or pupil left the establishment. Two further establishments had no leavers in the past year.

## H: Child Protection

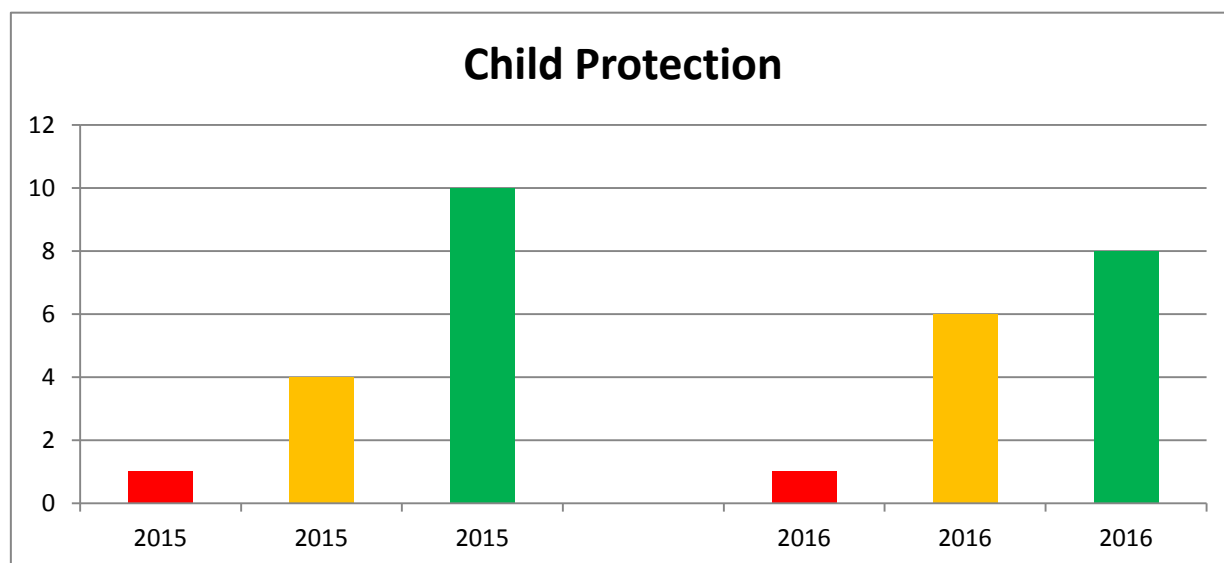


Fig. H.1: Child Protection

### Current Year Overview

While the audited establishments were largely compliant in relation to child protection, there were fewer establishments assessed as 'green' in 2016 than in 2015.

One establishment fell short of the required standards completely, and had minimal controls established to ensure staff had been given the appropriate training, received an annual briefing, or held records securely.

Community Centres do not keep child protection records. However, staff do come into regular contact with children and vulnerable adults, so it is recommended that they complete Child Protection Level 1 & 2 training, and the CLD worker completes Child Protection Level 4 training. Staff at both community centres visited had completed, or were booked on, this training.

### Training

- Staff at 13 of the 15 establishments visited were familiar with the Council's policies for Child Protection, Allegations of Abuse Against a Member of Staff and Whistleblowing, compared to 12 in 2015.
- The annual Child Protection briefing had been undertaken in 14 establishments, but three establishments had not kept a register of attendance or recorded the training on staff's employment records.
- At least one member of staff had completed Level 4 child protection training within the past three years at 14 of the 15 establishments visited. However, 6 schools and early years centres were assessed as amber where a named Child Protection officer had not completed the training within three years, or where there was only one officer with Child Protection Level 4 training.

- The head teacher or unit manager at only 7 of the 15 establishments had already attended the 'Managing Allegations of Abuse Against Staff and Volunteers' course. However, a further 7 were on the waiting list.

### ***Child Protection Records***

- 11 of the 13 schools and early years centres visited were found to be maintaining child protection records in accordance with Council policy.
- One early years centre was assessed as amber as they did not have a locked cabinet to keep child protection records and welfare concern records securely. However, this was a new centre and they had not yet had a child on the Child Protection register or a need to record a welfare concern.

## I: Equalities

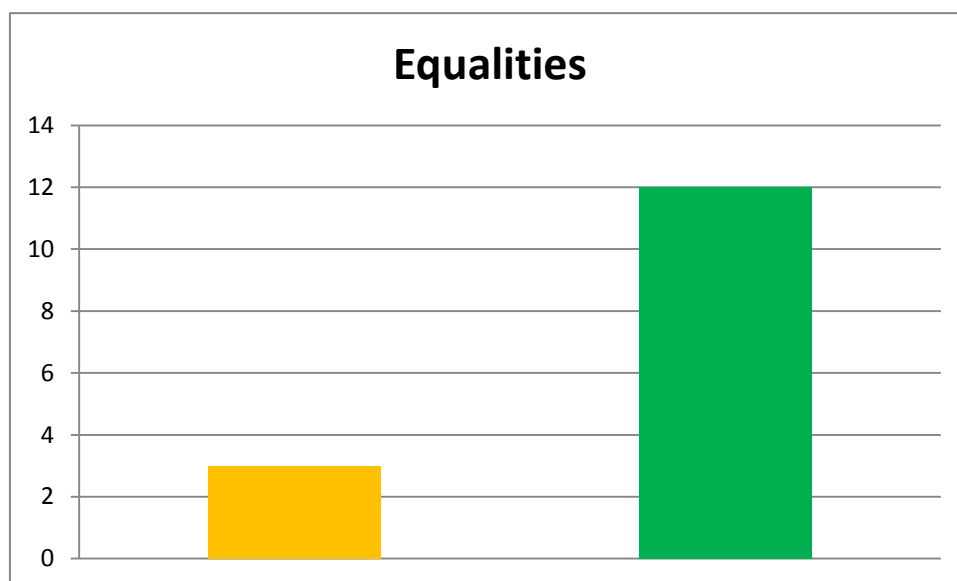


Fig. I.1: Equalities

### Current Year Overview

This was a new area included in the Assurance Statement for 2016 and was a high scoring area for establishments, with staff members often showing real passion and belief in the importance of creating inclusive environments for all pupils and service users.

Establishments that did not score as highly in this area tended to fall short on things like keeping an up to date bullying log, or ensuring that all staff members had completed training in equalities and diversity.

### Anti-Bullying

- All establishments visited had an anti-bullying or behaviour policy.
- Twelve of the 13 schools and early years centres had an anti-bullying log which they kept up-to-date and reviewed periodically for trends. One school had a log, but was not consistently recording incidents.

### Inclusion

- All establishments were able to show that they had active policies and programmes to ensure all service users could participate in the activities run by the establishment.
- Many of the establishments audited had set up welfare funds to help those who may not be able to afford the costs of certain trips or activities.
- Three of the establishments visited were unable to accommodate staff or pupils who require the use of wheelchairs. This reason for this was primarily down to the style and nature of the building itself, and not due to a lack of effort by staff.

- There was lift access to the first floor at one school visited, but no emergency evacuation equipment had been installed due to a dispute about funding.

### ***Equalities Training***

- Training in equalities and diversity had been undertaken at 7 of the 15 establishments in the past three years.

## J: Information Governance

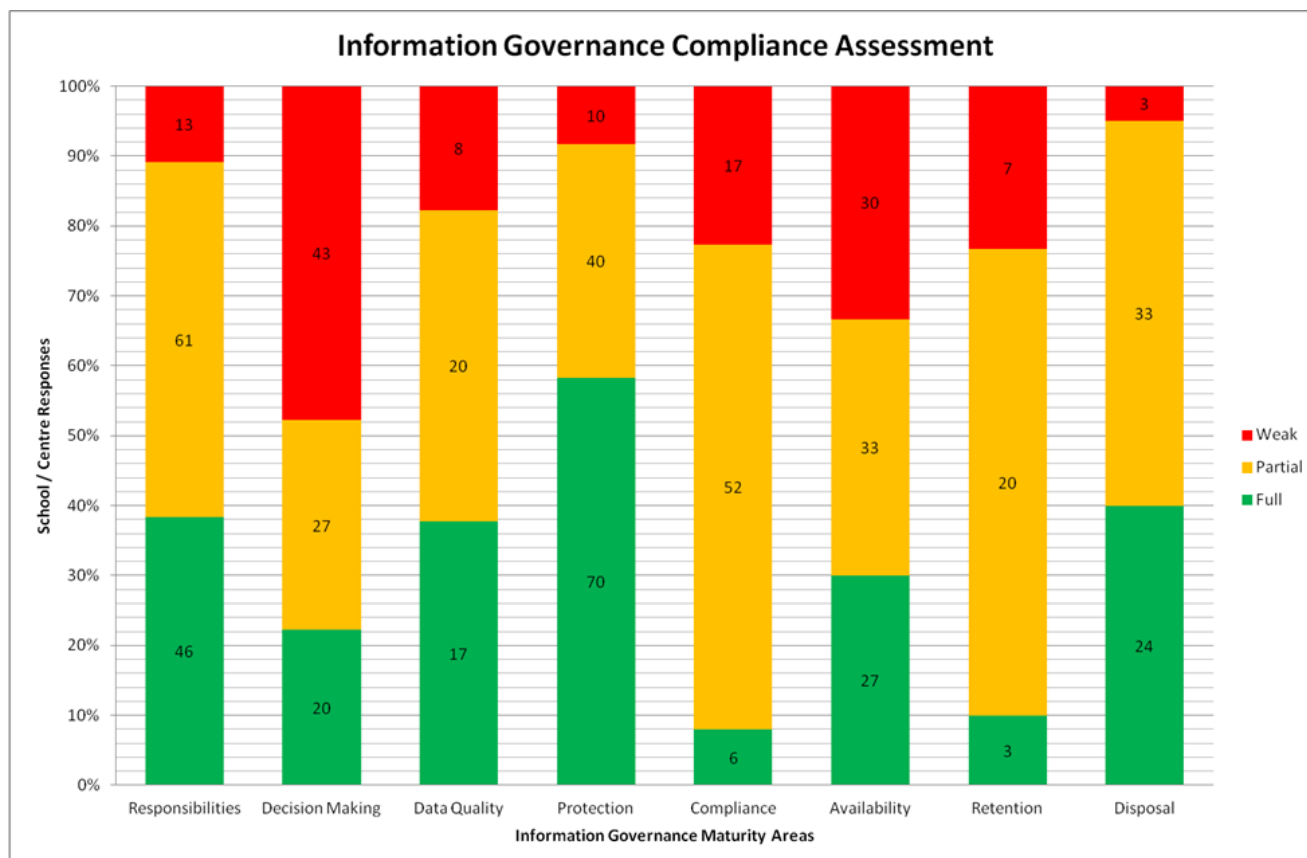


Fig.J.1: Information Governance

The Information Governance assessment covered 8 areas, with a suite of questions asked under each area. The chart above shows the number of 'red', 'amber' and 'green' responses across all 15 establishments for that area. For example, 8 questions were asked at each establishment under 'Responsibilities', so 120 responses were expected across all 15 establishments, with 46 or 38% assessed as 'green'. The establishments were not given an overall 'RAG' assessment for each area. See **Appendix 1** for full results.

### Current Year Overview

This was the first year that Information Governance has been assessed in such detail within schools. Indeed, this exercise offered the Information Governance Unit (IGU) the opportunity to pilot its new Information Governance Maturity Model which will be used across the Council, and will enable the Council's overall maturity in terms of information governance to be cogently assessed and monitored.

It should be emphasised that the varying maturity levels identified within schools is likely to be reflective of the Council's overall Information Governance maturity at this time. In this respect, the audit exercise has been exceedingly helpful to the IGU in identifying specific areas of risk which require more corporate support from the centre.

It should also be noted that, overall, a significant amount of good practice was identified. However this practice was generally not documented and there was a reliance upon specific staff knowing how to deal with information management matters. Resilience and assurance ratings would be strengthened if processes were documented.

The assessment covered 8 areas. The 15 units were scored red (weak compliance); amber (partial compliance) or green (full compliance) against a set of questions in each area.

**Responsibilities:** *Staff are aware of their information governance responsibilities and what support is available for them.*

- A sound practical understanding of responsibilities around information management was generally demonstrated, particularly in relation to information sharing.
- There was limited knowledge of the data protection breach reporting process, although it is acknowledged that all staff would escalate issues appropriately. Overall, there is a reliance on particular staff to co-ordinate escalation and it was not clear what would happen if they were not available.

**Decision-Making:** *Processes that create, manage, share and dispose of Council information are documented, approved and reviewed.*

- Most units demonstrated an appropriate practical response to the management of information in their care. However, processes are not documented and consequently there is no assurance that this management is applied consistently within the school or across the Service.

**Data Quality:** *Council information is routinely monitored to ensure accuracy and reliability.*

- Schools rely on C&F data quality processes around SEEMiS to manage the collection and accuracy of core personal data. Most schools did not clearly demonstrate how data quality was managed for other information collected at a local level.

**Protection:** *Council information is secured to a level appropriate to the sensitivity of its content.*

- Good practice was identified across most schools in relation to how information was protected when taken off-site.
- Although paper records containing sensitive personal information were appropriately secured and managed in most units, practice around electronic records outside of SEEMiS was variable. Staff were often unsure of what access permissions were in place (or should be in place) for their shared drive folders and some were unsure of what information was appropriate to store within Office 365. The continued use of removable media to store Council information within some units was also of particular concern.

**Compliance:** *Staff comply with the Council's information governance policy requirements; incidents are reported and non-compliance is identified and managed through the Council's Risk Management Framework*

- Information risks are not being routinely recognised or recorded within units. The audit assumed that a local risk register would be in place and this was not the case in all but one school.
- Good practice was identified in relation to how personal data is collected and used. In the main, schools provided fair processing information which was effectively communicated to parents, and knew not to use the information for other purposes without further notification and consent.

**Availability:** *Council information is available to the right staff in the timeframe needed to meet business need and statutory obligations.*

- Broadly, schools did not identify issues with locating or retrieving information when required. However, the way that electronic information is stored varies widely with no consistency between schools or with the Council's Business Classification Scheme.
- Email management was identified as a particular issue. Some schools print information to file, some use Outlook folders, or email archives. This presents a risk that information may not be available in the long-term.



**Retention:** *Council records are closed and retained against the relevant Council retention rule.*

- The closure of records within units is inconsistent. There is general good practice in managing pupil and financial records but this does not always extend to other information. There were a number of cases where records were retained significantly past their standard retention period.
- Long-term digital access and preservation of education records is an issue that no school has addressed although it is accepted that this should come as a corporate solution. However, the lack of long term viability of education records poses a significant challenge and risk to citizen's rights and civic memory.

**Disposal:** *Council records are disposed of in a manner appropriate to their sensitivity and historic value.*

- Information was generally disposed of appropriately with the widespread use of confidential waste.
- Out of the sample of schools audited, a number had already transferred their historic records to the City Archives however there is more work to be done by the Information Governance Unit to enable the remaining schools to transfer their records (subject to local considerations).

# 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 establishments identified where additional support and guidance from Communities and Families or Corporate Property would be beneficial.

The findings in the table below were first identified in 2016. An update on progress is given below:

Section	Finding	Recommendation	Progress	Current Position
<b>Governance</b>				
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.	<p>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.</p> <p>Schools should be encouraged to 'buddy up', so experienced business managers can share their knowledge with schools with weaker controls.</p>		<p>A business managers group has been established and had its first meeting in November 2016. They have set an action plan to put together a 'business manager's toolkit' over the next 6 months.</p> <p>We saw some good examples of 'buddying' with experienced business managers supporting colleagues in other schools.</p>
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	Head teacher and business manager groups should be consulted to establish the most effective way of communicating key messages to schools.		<p>Access to the head teachers' mailing list has now been restricted to reduce the volume of emails head teachers receive.</p> <p>Communications considered important are now sent by the Head of</p>

	Information Governance policy was not clearly communicated, and was circulated as an attachment to a general email.			Schools and Lifelong Learning or the Senior Education Manager to increase the likelihood of head teachers and unit managers reading them.
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.	<p>Internal Audit and Corporate Health and Safety will visit 15 units in 2016/17. 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.</p> <p>Corporate Health and Safety will continue to undertake H&amp;S audits for additional units as part of their rolling audit programme.</p> <p>The health and safety audit requires technical knowledge and H&amp;S competence which means audits cannot be carried out by Communities &amp; Families staff.</p>		<p>The C&amp;F Self-Assurance Programme was rolled out to community centres, early years centres and residential units in 2016/17. It will be introduced to libraries later in the year.</p> <p>The self-assurance questionnaire has been refreshed, and has been launched online to make it easier for units to respond, and easier for C&amp;F to analyse the results.</p> <p>Now the Self-Assurance Programme is established, we recommend Communities and Families develop a programme of peer-to-peer visits to validate responses to the questionnaire, and sustain the focus on controls we have seen in the past two years.</p> <p>Corporate Health and Safety will continue to carry out Health &amp; Safety audits in schools and other C&amp;F units as part of their rolling audit programme.</p>
<b>Finance</b>				
Online Payments	There were significant control weaknesses in cash management identified at 7	Communities & Families may wish to consider rolling out the online payment system to all		ParentPay, an online payment system, will be rolled out across the

	<p>schools visited.</p> <p>An online payment system has been successfully trialled in a number of schools, but has not yet been introduced across the school estate.</p>	<p>schools. This would improve compliance with Council procedures and consistency in practice throughout the school estate.</p>		<p>schools estate from January 2017.</p> <p>Feedback should be sought from “early adopters” and used to form the basis of guidance documents.</p> <p>On-going support and training should be provided to staff to help ensure full understanding and effective use is made of the online systems.</p>
<b>Workforce</b>				
Registers of Interest and Recording of Gifts and Hospitality	<p>Only two of the 15 schools visited have created a register of interests. Similarly, few schools recorded gifts and hospitality received by staff.</p>	<p>Additional guidance should be issued to all schools confirming the requirement to maintain registers of interests, gifts and hospitality.</p>		<p>Only 6 of the 15 establishments visited in 2016 kept a register of gifts and hospitality, and only four kept a register of interests.</p> <p>Staff expressed uncertainty over what constituted ‘an interest’ and what value of gift should be recorded.</p>
Recording Training	<p>There was a lack of awareness of the requirements for recording all training for teaching and non-teaching staff.</p> <p>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.</p>	<p>Guidance on the most appropriate method of capturing full training information for all staff and extracting attendance information is required.</p> <p>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.</p>		<p>It was expected that this would be resolved with the launch of the new Council-wide HR and Finance system, which has been delayed until October 2017.</p>

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.		An ELM was drafted for secondary schools in Spring 2016, but has not been rolled out.
Performance Review	Performance reviews were not routinely held for non-teaching staff. Clarification is required about whether some form of performance review is required for staff at grade 4 or below.	A number of schools supported administration and teaching support staff with professional development. Corporate C&F team should consider whether this should be rolled out across the school estate.		No progress.
<b>Health and Safety</b>				
Roles and responsibilities for discharging H&S responsibilities	Lack of clarity on roles and responsibilities for <b>discharging</b> 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.		Roles and responsibilities for discharging health and safety responsibilities has been considered as part of the Facilities Management redesign project and clarity will be provided through Service Level Agreements (SLA's).
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.		The PRD process within the Council is currently being redesigned.
H&S training	Lack of clarity on mandatory H&S training for key role	The C&F Essential Learning Matrix should be finalised with input from Corporate H&S for		An ELM was drafted for secondary schools in Spring 2016, but has not

	holders in the school.	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.		been rolled out.  There is an outstanding requirement to identify mandatory training for schools and roll this out, with robust record keeping and oversight on its completion.  Work is underway to roll out a one-day Health and Safety training course for Head Teachers and Business Managers.
<b>Property and Statutory Controls</b>				
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.		A 40-week plan template has been shared to enable ongoing review of health and safety and statutory controls.  CAFM (the new FM system) will facilitate record-keeping once introduced. The current implementation date is April 2017, with full roll out as part of the Facilities Management Service Redesign.
Sharing best practice	Lack of sharing of best practice.	Consideration should be given to sharing best practice between PPP and non-PPP managed schools.		The Risk Management Steering Group within Communities and Families provides a forum for sharing best practice.
<b>Information Governance</b>				
Records Management	There was a lack of understanding of the record management requirements of the Council, particularly in the recording of data	Clear guidance and training in records management should be provided to schools to help them comply with Information Governance policies.		Information and Compliance Officers joined audit visits to C&F establishments this year to develop a better understanding of working practices and support staff in understanding and applying

	destruction.			Information Governance policies. See <b>Section J: Information Governance.</b>
<b>Information Technology</b>				
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.		We again found that establishments managing IT effectively had a member of the teaching staff with good IT knowledge acting as IT co-ordinator, and they had a clear remit.
<b>Child Protection</b>				
'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.		Communities & Families have clarified the groups of staff requiring PVG checks.  The community centres visited noted that their staff regularly work alone with children and vulnerable adults, but are PVG checks are not required. The senior CLD worker has initiated discussions with HR about adding CLD workers and community centre admin officers and SSOs to the list of posts requiring PVG disclosure.

A number of new findings were identified following our visits to schools, community centres and early years centres in 2016:

Section	Finding	Recommendation
<b>Workforce Controls</b>		
Conference attendance	<p>The unit manager at one centre regularly spoke at and attended conferences both in the UK and internationally. Speaking fees were donated to the centre, and on occasion used to fund fees and travel costs for conferences attended for CPD purposes.</p> <p>All travel was arranged by and paid for by the centre, with no evidence of authorisation of expenditure.</p>	<p>Communities and Families should clarify their policy on CPD, particularly where it involves international travel or extended periods of leave which we would expect to be authorised by a senior manager.</p> <p>We would also expect line manager approval to be sought where an employee is speaking at an event and representing the Council.</p> <p>We note that under the Council's travel policy, flights and international travel must be approved by an executive director. The Council also frequently receives FoI requests relating to air travel, and has reporting duties more generally. Travel arranged independently by centres would not be captured in responses to these requests.</p>
<b>Equalities</b>		
Training	<p>Only 7 of the 15 establishments visited had offered staff training in equalities and diversity within the past 3 years.</p>	<p>Communities and Families indicated that they would expect establishments to offer staff training in equalities and diversity approximately every 3 years.</p> <p>There is an eLearn available, but not all establishments were aware of its existence. We would suggest training in equalities and diversity is captured on the Essential Learning Matrix, and establishments are given examples of training</p>



		sessions they could deliver.	
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		Establishment															Total RAG ratings			
		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8	Unit 9	Unit 10	Unit 11	Unit 12	Unit 13	Unit 14	Unit 15	No	Partial	Yes	N/A
<b>A - Health and Safety</b>																				
1.1	Health and Safety Roles and Responsibilities	Green	Red	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Yellow	Green	Yellow	1	2	11	0
1.2	Health and Safety Training	Yellow	Red	Yellow	Green	Grey	Yellow	Green	Green	Green	Green	Green	Green	Green	Green	Green	1	3	10	0
1.3	Health and Safety Communications	Green	Green	Green	Green	Grey	Yellow	Green	Yellow	Yellow	Green	Green	Green	Green	Green	Green	0	3	11	0
1.4	Health and Safety Risk Assessments	Yellow	Yellow	Yellow	Green	Grey	Yellow	Green	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	0	11	3	0
1.5	H&S Control Measures	Yellow	Yellow	Yellow	Green	Grey	Yellow	Green	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	0	12	2	0
1.6	Statutory tests and inspections for teaching equipment	Yellow	Red	Yellow	Green	Grey	Red	Red	Red	Red	Yellow	Green	Red	Yellow	Yellow	Yellow	6	6	2	0
1.7	H&S Workplace Inspections / Housekeeping	Yellow	Yellow	Yellow	Green	Grey	Yellow	Green	Yellow	Yellow	Yellow	Green	Green	Green	Green	Green	0	7	7	0
1.8	Stress / Employee Assistance Programme	Green	Yellow	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Yellow	Green	0	2	12	0
1.9	First-aid arrangements	Yellow	Yellow	Green	Green	Grey	Green	Yellow	Yellow	Yellow	Green	Yellow	Yellow	Yellow	Green	Green	0	7	7	0
1.10	Fire safety and emergency response arrangements (H&S)	Yellow	Yellow	Yellow	Yellow	Grey	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	0	14	0	0
1.11	Emergency response	Yellow	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	0	2	12	0
1.12	Reporting and Investigation of Incidents	Green	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	0	0	14	0
1.13	Escalation and monitoring of H&S risks and issues	Yellow	Yellow	Yellow	Green	Grey	Yellow	Green	Yellow	Yellow	Yellow	Green	Green	Yellow	Green	Green	0	7	7	0
1.14	Control of Contractors	Grey	Yellow	Green	Green	Grey	Green	Yellow	Green	Green	Green	Grey	Green	Green	Green	Green	0	2	10	2
1.15	H&S Arrangements with Voluntary Organisations	Green	Red	Green	Green	Grey	Green	Yellow	Grey	Green	Green	Grey	Grey	Grey	Green	Green	1	1	8	4
<b>B - Property and Statutory Inspections</b>																				
1.1	Statutory Inspections	Green	Red	Red	Green	Grey	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Green	Yellow	Yellow	2	5	2	0
1.2	Asbestos	Green	Yellow	Green	Yellow	Grey	Green	Yellow	Yellow	Green	Green	Grey	Grey	Grey	Yellow	Green	0	4	5	0
1.3	Water safety (including legionella)	Green	Green	Green	Green	Grey	Green	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Green	Green	Green	0	3	6	0
1.4	Playground equipment	Grey	Red	Green	Green	Grey	Green	Red	Red	Red	Red	Red	Red	Red	Red	Grey	4	1	2	2
1.5	Window restrictors	Green	Red	Yellow	Red	Grey	Red	Red	Red	Red	Red	Red	Red	Red	Red	Grey	7	1	1	0
1.6	Traffic Management	Green	Yellow	Green	Green	Grey	Grey	Green	Grey	Red	Green	Grey	Grey	Green	Red	Green	1	1	5	2
1.7	Condition Surveys	Grey	Green	Red	Red	Grey	Yellow	Red	Red	Red	Green	Grey	Yellow	Red	Red	Red	5	1	2	1
1.8	FM walk round inspections	Green	Yellow	Green	Red	Grey	Yellow	Green	Yellow	Yellow	Yellow	Red	Green	Yellow	Red	Green	1	5	3	0
<b>C - Facilities Management</b>																				
1.1	FM - Health and Safety Training	Yellow	Green	Yellow	Yellow	Grey	Red	Green	Green	Yellow	Green	Yellow	Green	Yellow	Red	Yellow	1	4	4	0
1.2	FM - Health and Safety Risk Assessments	Green	Green	Green	Green	Grey	Yellow	Green	Yellow	Yellow	Yellow	Green	Green	Yellow	Yellow	Yellow	0	4	5	0
1.3	FM H&S Control Measures	Yellow	Green	Yellow	Green	Grey	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	0	7	2	0
<b>D - Financial Controls</b>																				
<b>Ref Monitoring and Budget Outturn</b>																				
1.1	Confirm that Head Teacher/Centre Manager reviews quarterly budget monitoring and forecast statement before submission to Finance. <i>Evidence: Signature/email</i>	Yellow	Yellow	Green	Green	Green	Green	Green	Green	Green	Green	Yellow	Grey	Green	Green	Green	0	2	8	0
1.2	If in potential overspend confirm whether discussions are in place with Finance or C&F Senior Managers to mitigate issue	Yellow	Yellow	Green	Green	Green	Green	Green	Green	Green	Green	Green	Grey	Grey	Green	Green	0	2	8	0
<b>Income</b>																				
2.1	Ascertain whether prime records exist that ensure all income is known and recorded (z totals, receipt book, community class list etc) <i>Cash book or basic accounting system</i>	Red	Red	Green	Green	Yellow	Green	Red	Green	Yellow	Green	Yellow	Yellow	Grey	Green	Green	3	2	5	0
2.2	For an appropriate sample of each category verify that the total income expected was banked intact. <i>Cash book to bank statement</i>	Red	Red	Yellow	Yellow	Green	Yellow	Green	Yellow	Green	Green	Red	Grey	Green	Green	Green	2	4	5	0
2.3	Ascertain whether there is segregation of duties in relation to collection of cash and banking	Red	Red	Green	Green	Yellow	Green	Yellow	Green	Yellow	Green	Green	Red	Grey	Yellow	Yellow	3	3	5	0

2.4	Confirm that income (cash) is banked at appropriate intervals															0	2	8	0
2.5	Bankings periodically checked by Business Manager to ensure completeness and accuracy (signed & dated) <i>Segregation of duties</i>																		
<b>Expenditure</b>																			
3.1	Scrutinise school fund/early years/community centres expenditure to ascertain that expenditure appears reasonable and is compliant with the current guidance and is properly authorised. <i>(Sample of 10: order, invoice, authorisation)</i>															1	4	5	0
3.2	Ascertain if cheques are presigned at any point, obtain current cheque book to confirm.															0	2	9	0
3.3	Confirm all bank signatories are current members of staff.															0	2	8	0
<b>Bank reconciliations</b>																			
4.1	Bank accounts are reconciled within month of month end.															2	2	6	0
4.2	School fund/early years/community centres cash book shows balances by category (i.e. general, school trip x, uniforms etc)															3	0	7	0
4.3	Reviewed and authorised by Business Manager (signed & dated)															3	2	5	0
4.4	Check addition, vouch totals to prime cash book, verify o/s cheques and lodgements to following bank statement															3	0	7	0
4.5	Confirm errors / issues addressed and not simply accumulating															3	0	7	0
<b>Cash</b>																			
5.1	Reconcile petty cash to cash and vouchers															2	1	5	2
5.2	Confirm that petty cash is reconciled at least quarterly (signed & dated)															4	1	3	2
5.3	Petty cash reconciliation reviewed and authorised by Business Manager /independent member of staff (signed & dated)															4	0	4	2
5.4	Confirm that cash is held securely and in compliance with insurance limits <i>Verify insurance limit before visit.</i>															3	1	6	0
<b>E - Workforce Controls</b>																			
<b>Conflicts of Interest, Gifts and Hospitality Registers</b>																			
1.1	Review the register of interests. Confirm that it has been updated within the school year and any conflicts of interests have been managed appropriately.															4	3	3	0
1.2	Review the gift and hospitality register. Confirm that gifts and hospitality over £10 are recorded, including offered gifts/hospitality that have been declined. <i>" 14.6 In certain limited circumstances, and in connection with your official duties, it may be appropriate for you to offer or receive hospitality, gifts of limited value or small tokens of gratitude." (Extract from Council Policy)</i>															2	3	5	0

Key Corporate Workforce Policies and Procedures																			
<b>Mandatory C&amp;F Training</b>																			
2.1	All staff have completed annual mandatory training on key policies and procedures.															0	2	8	0
2.2	Training completed by staff is recorded on iTrent.															2	1	7	0
<b>Recruitment &amp; Induction</b>																			
3.1	The induction checklist has been completed and signed by their line manager.															2	1	7	0
3.2	The employee has been made aware of their roles and responsibilities.															1	2	7	0
3.3	Confirm that satisfactory references were obtained before the first day of employment.															0	0	10	0
3.4	Confirm that satisfactory PVG check was obtained before the first day of employment.															1	0	9	0
<b>Performance and Attendance</b>																			
3.5	For employees of grade 5 and above PRD records are complete and up to date on iTrent <i>(Teaching staff: confirmation that GTC records form completed and logged on iTrent)</i>															2	3	5	0
3.6	Sickness has been recorded on system correctly															2	3	5	0
3.7	Managing attendance procedure has been followed properly and evidenced on iTrent if applicable.															2	5	3	0
<b>F. Resilience</b>																			
1.1	<b>Schools/Early Year Centres only:</b> Confirm that there is evidence to show Headteacher, Deputy Headteacher and Business Manager have attended the annual Significant Occurrence training. <i>(e.g. date of course, course agenda, iTrent record)</i>															2	2	6	0
1.2	Have staff been made familiar with the contingency arrangements? <i>(E.g. Full staff briefing, crib sheets displayed, 'Red button' folder, 'Hit the Hub')</i>															2	1	7	0
1.3	Is there a log of emergency contact details?															2	1	7	0
1.4	Is the log of emergency contact details easily accessible? <i>(E.g. held by school office, business manager and head teacher)</i>															2	1	7	0
1.5	Has the log been updated within the school year/ last 12 months?															2	1	7	0
1.6	Are key procedures written down? (E.g. cash handling, first aid)															1	3	6	0
<b>G. IT</b>																			
<b>Equipment and High Value / Desirable Items</b>																			
1.1	Verify that records are held of equipment and other high value or desirable items, i.e iPads, mobile phones, electrical equipment															0	1	9	0
1.2	Confirm all iPads are registered on Meraki.															0	1	9	0

1.3	Select a sample of recent purchases and confirm listed on the asset register.															0	0	10	0
1.4	Physically check a sample of assets retained within the building															0	0	10	0
<b>Leavers</b>																			
2.1	BT user account has been closed.															0	1	9	0
2.2	<b>Schools/Early Year Centres only:</b> Seemis user account has been closed (teachers).															0	1	9	0
2.3	Laptops, iPads, mobile phones have been returned.															0	2	8	0
2.4	Data from personal devices has been cleansed.															0	1	9	0