

CITY OF
WOLVERHAMPTON
COUNCIL

Response to Request for Information

Reference FOI 002957
Date 12 November 2018

School Audits

Request:

Please see the below request for information under the FOI act..

1. Please can you provide a date for the last time each LA maintained school in your area was last audited by the council. Failing this, please could you tell me how many schools have not been audited since November 2013 (five years ago).

School Name	Date Last Audit Report
<u>Nursery</u>	
Ashmore Park	13/06/2018
Bilston	10/10/2018
Bushbury	17/05/2017
Eastfield	30/05/2013
Low Hill	15/06/2015
Phoenix	18/05/2016
Windsor	03/07/2018
<u>Primary</u>	
Bantock	22/10/2014
Bilston CE	22/07/2016
Bushbury Hill Primary	26/06/2017
Castlecroft Primary	01/03/2016
Christ Church CE Infants (TW)	26/09/2018
Christ Church CE Junior	22/07/2016
Claregate	26/11/2015
Dovecotes	19/07/2018
Eastfield	13/07/2017
Fallings Park	20/07/2017
Graiseley	16/07/2015

Holy Trinity RC	17/06/2016
Lanesfield	07/09/2017
Long Knowle	15/06/2015
Loxdale	26/10/2017
Merridale	04/10/2017
Oak Meadow	26/09/2018
Rakegate	28/07/2015
Spring Vale	22/06/2017
Springdale Infants	03/05/2017
Springdale Junior	20/06/2018
St Andrew's CE	01/07/2014
St Anthony's RC	09/05/2018
St Luke's CE	20/07/2017
St Michael's CE	17/06/2016
St Patrick's RC	31/05/2017
St Paul's CE	20/03/2017
Stowheath	02/05/2017
Stowlawn	05/01/2016
Trinity CE	24/03/2014
Uplands Junior	02/06/2017
Warstones	09/07/2015
West Park	30/04/2018
Westacre	06/06/2018
Whitgreave Infants/ jnrs	30/06/2017
Wilkinson	13/07/2016
Wodensfield	31/10/2018
Wood End	16/10/2017
Woodthorne	18/01/2018

Secondary

Colton Hills	19/07/2018
Kings (CB)	11/11/2016
St. Matthias	18/11/2016

Special

Green Park	19/01/2017
Penn Hall	16/07/2015
Pennfields	04/03/2014
Tettenhall Wood	18/07/2016

Pupil Referral Units

Braybrook Centre	26/05/2016
Midpoint Centre	26/05/2016
The Orchard Centre	26/05/2016

2. Also, for each of the last three years, please can you tell me how many schools were audited, and roughly what percentage of the your schools this made up.

	No of Schools Audited	% of Schools Audited	Total Schools
2018/19 as at 15 /11/18	12	21%	56
2017/18	16	27%	59
2016/17	17	25%	67
2015/16	10	13%	78

3. For each of these years, if possible, please provide the name of the school audited, and the number of recommendations made (please break this down into low/medium/high recs).

<u>School Name</u>	Date last Audit Report	No of Recs	Red/ High	Amber/ Medium	Green /Low
2015/16					
Penn Hall	16/07/2015	0	0	0	0
Low Hill	15/06/2015	5	0	0	5
Long Knowle	15/06/2015	18	1	12	5
Warstones	09/07/2015	6	0	1	5
Graiseley	16/07/2015	4	0	1	3
Penn Hall	16/07/2015	0	0	0	0
Rakegate	28/07/2015	5	0	3	2
Villiers	21/10/2015	3	0	0	3
Claregate	26/11/2015	3	0	2	1
Stowlawn	05/01/2016	6	0	1	5

2016/17					
Phoenix	18/05/2016	1	0	1	0
Braybrook Centre	26/05/2016	4	0	0	4
Midpoint Centre	26/05/2016	4	0	1	3
The Orchard Centre	26/05/2016	2	0	0	2
Castlecroft Primary	01/03/2016	2	0	0	2
St Thomas	29/06/2016	2	0	0	2
Holy Trinity RC	17/06/2016	2	0	1	1
St Michael's CE	17/06/2016	4	0	1	3
Wilkinson	13/07/2016	5	0	3	2
Tettenhall Wood	18/07/2016	3	0	2	1

[NOT PROTECTIVELY MARKED]

Bilston CE	22/07/2016	4	0	2	2
Christ Church CE Junior	22/07/2016	3	0	0	3
Loxdale	13/10/2016	8	0	4	4
Kings (CB)	11/11/2016	10	0	2	9
St. Matthias	18/11/2016	10	0	7	3
Green Park	19/01/2017	6	0	5	1
St Paul's CE	20/03/2017	10	3	4	3
2017/18					
Stowheath	02/05/2017	12	0	8	4
Springdale Infants	03/05/2017	8	0	4	4
Bushbury	17/05/2017	5	0	1	4
St Patrick's RC	31/05/2017	33	7	24	2
Uplands Junior	02/06/2017	10	0	2	8
Spring Vale	22/06/2017	11	0	1	10
Bushbury Hill Primary	26/06/2017	9	0	2	7
Whitgreave Infants/ jnrs	30/06/2017	2	0	2	0
Eastfield	13/07/2017	4	0	1	3
Fallings Park	20/07/2017	8	0	2	6
St Luke's CE	20/07/2017	11	0	5	6
Lanesfield	07/09/2017	19	0	8	11
Merridale	04/10/2017	5	0	1	4
Wood End	16/10/2017	5	0	1	4
Woodthorne	18/01/2018	24	6	17	1
2018/19					
West Park	30/04/2018	9	0	3	6
St Anthony's RC	09/05/2018	5	0	1	4
Westacre	06/06/2018	6	0	2	4
Ashmore Park	13/06/2018	1	0	0	0
Springdale Junior	20/06/2018	5	0	1	4
Windsor	03/07/2018	2	0	0	2
Dovecotes	19/07/2018	5	0	2	3
Colton Hills	19/07/2018	12	0	7	5
Christ Church CE Infants (TW)	26/09/2018	8	0	5	3
Oak Meadow	26/09/2018	5	0	3	2
Bilston	10/10/2018	7	0	3	4
Wodensfield	31/10/2018	4	0	2	2

4. For each of these years, please also provide details of the recommendations. And please provide any details you have on action taken in relation to the recs. With reference to question 4, your request for information has now been considered and the City of Wolverhampton Council is not obliged to supply the information you requested for the reasons set out below.

Section 17 of the Freedom of Information Act 2000 requires City of Wolverhampton Council, when refusing to provide such information (because the information is exempt) to provide you, the applicant with a notice which:

- (a) states the fact,
- (b) specifies the exemption in question and
- (c) states (if that would not otherwise be apparent) why the exemption applies:

In relation to your particular request, the following exemption applies:

Section 12 - Exemption where cost of compliance exceeds appropriate limit

We can confirm that the Council holds information falling within the description specified in your request. However, Section 12 of the Freedom of Information Act 2000 allows a public authority to refuse a request if the cost of providing the information to the applicant would exceed the 'appropriate limit' as defined by the Freedom of Information.

The Regulations provide that the appropriate limit to be applied to requests received by local authorities is £450 (equivalent to 18 hours of work). In estimating the cost of complying with a request for information, an authority can only take into account any reasonable costs incurred in:

- (a) *Determining whether it holds the information,*
 - (b) *Locating the information, or a document which may contain the information,*
 - (c) *Retrieving the information, or a document which may contain the information,*
- and*
- (d) *Extracting the information from a document containing it.*

For the purposes of the estimate the costs of performing these activities should be estimated at a rate of £25 per hour.

The information appertaining to your request is not easily accessible and as such this information is not held as a distinct set able to be retrieved or reported on. To get the information would require a full scale look into all individual reports. This would be a manual exercise and as such we believe that the aggregated time it would take to collate the information would be in excess of 18 hours (equivalent to a notional cost of £450).

Excess cost removes the City of Wolverhampton Council's obligation under the Freedom of Information, however under Section 16 – (the duty to provide advice and assistance, the Council may be able to provide answers to the request, should you wish to submit a refined request.

However, I have attached a set of slides titled "Audit Services for Schools & Academies" which gives a breakdown of the key issues we tend to identify as a result of our school audit programme which I hope will be of use.

5. Please include a figure for the number of investigations that were opened as a result of an audit report, and the outcome of an investigation. Plus whether the investigation was published in the public domain.

Nil

6. Do you publish the findings of your school audits in the public domain? If so, please point me to where.

A summary of the findings from our school audits are regularly reported to our Audit and Risk Committee in quarterly Internal Audit Update Reports. The papers from these committee meetings are available on the Council's website:

<http://wolverhampton.moderngov.co.uk/mgCommitteeDetails.aspx?ID=169>

Audit Services for Schools & Academies

Common Recommendations

CITY of
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COUNCIL

wolverhampton.gov.uk

Sensitivity: NOT PROTECTIVELY MARKED

Audit process - Maintained Schools

Cyclical audit plan (Every 3 years secondary; 4 years for all other schools)

Covers 6 key audit areas:

- Governance
- Protecting People, Data & Assets
- Budget
- Payroll
- Income
- Procurement

Top Ten Audit Recommendations

- Procurement Issues
- Reconciliation Processes
- Income audit trails
- Authorised Signatories
- Payroll amendments
- Inventory
- Virements
- Recording of decisions
- Single Central Record
- Register of Business Interests

Procurement

- Comply with Financial Rules & Contract Rules
- Raise orders in advance, commit expenditure to school budget
- Follow guidance re seeking of quotes / tenders
- Retain evidence to demonstrate best value has been achieved
- Seek governing body approval in accordance with your scheme of delegation & record this in governing body minutes.

Reconciliation Processes

All reviews should be documented, signed & dated

Examples include:

- Payroll
- Expenditure
- Income

Income

- Suitable separation of duties between income collection, banking and reconciliation.
- Handover records maintained for transfer of cash between employees.
- Clear audit trails.
- Evidence of supervisory checks

Authorised Signatories

- List of names of staff with authority to commit and approve the spending of school funds
- Kept up-to-date
- Reflects the Scheme of delegation approved by the Governing Body

Payroll Amendments

- Payroll – biggest area of school expenditure
- Changes should be approved by governing body
- Documentation held to support pay changes
- Suitable supporting information exists to support additional payments

Inventory

- In place
- Contains adequate information
- Reviewed annually
- Disposals reported to Governing Body

Sensitivity: NOT PROTECTED BY DATA PROTECTION ACT 2018

Virements/Recording of decisions

- Appropriate approval obtained for any virements above the Headteacher's delegated limit.
- Reported to committee in accordance with Scheme of Delegation.
- Governing Body minutes need to clearly show decisions made by the Governing Body

Single Central Record

- Checked by Ofsted
- Ensure the mandatory fields on the SCR are fully completed
- Documentary evidence retained to reflect all checks undertaken.

Register of Business Interests

- Statutory Requirement, Financial Rule 11 and Scheme for Financing Schools 2.9
- Register of Interests to be completed annually by school staff and governors
- Governors interests to be published on school website.