

WARWICKSHIRE COUNTY COUNCIL

EARLY EDUCATION FUNDING BUSINESS HEALTH CHECK AND AUDIT

CONFIDENTIAL TO: The Setting and the People Directorate, WCC.

General Setting Information									
Full name and address of setting:		Business Health Check & Audit Date and time:							
		Telephone Number:							
		Email Address:							
		Name of Owner:							
		Name of Nursery Manager:							
Occupancy									
Number of Weeks open:		Is there an out of school club on site?				Is there a holiday club on site?			
Age Registered For:		Number of Places Offered:				Current occupancy levels?			
Places offered:	Babies		2-year-olds		3/4-year-olds		Older children		
Opening Times:	Monday	Tuesday		Wednesday		Thursday		Friday	

Details of 15 hours Funded Entitlement offer including 2 Help:	Comments:			Pupil Premium Policy in place	<input type="checkbox"/> YES <input type="checkbox"/> NO
				Disability Access Fund:	<input type="checkbox"/> YES <input type="checkbox"/> NO
Details of 30 hours Funded Entitlement:	Comments:			Tax Free Childcare Offer:	<input type="checkbox"/> YES <input type="checkbox"/> NO
OFSTED					
URN:		Latest Ofsted Inspection Date		Outcome:	
Marketing					
Prospectus	<input type="checkbox"/> YES <input type="checkbox"/> NO	Copy Attached	<input type="checkbox"/> YES <input type="checkbox"/> NO		
Comments:					

Website	<input type="checkbox"/> YES <input type="checkbox"/> NO	Website Address:	
Comments:			
Social Media	<input type="checkbox"/> YES <input type="checkbox"/> NO	Platforms used:	
Comments:			

Business Legal Structure		
Please circle as appropriate: VMC / Co. Ltd by Guarantee / Sole Trader / Community Facility Powers (CFP)/ S27 / Social Enterprise / CIC / CIO / Not for Profit / Unincorporated / Not for Profit + Limited Liability / Charity / Private For Profit / Private – Limited		
Constitution or Memorandum and Articles of Association Copy Seen	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments

Premises		
Privately owned.	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments
Landlord – WCC	<input type="checkbox"/> YES <input type="checkbox"/> NO	
Landlord –Private	<input type="checkbox"/> YES <input type="checkbox"/> NO	
Lease/Licence/Rental Agreement Copy Seen:	<input type="checkbox"/> YES <input type="checkbox"/> NO	
Lease/Licence/Rental Agreement Expiry Date:		
Accommodation type and condition	Comments	
Projects planned?	Comments	
Staffing		
Recruitment and Retention		
Sufficient Staff	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:
Successful recruitment campaigns	<input type="checkbox"/> YES <input type="checkbox"/> NO	
Are there specific roles / qualification levels that are harder to recruit too?	<input type="checkbox"/> YES <input type="checkbox"/> NO	

Current staffing pressures?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
Delivery changes planned linked to the expansion to the funded entitlements from April 2024		
<ul style="list-style-type: none"> • Premises Changes • Staffing • Delivery Models • Age Range Changes 	Comments:	
Early Years Covid Recovery Grants		

WARWICKSHIRE COUNTY COUNCIL REQUIREMENTS OF FUNDED ENTITLEMENTS

Financial Management, Audit and Additional Requirements

Ensure that there are robust financial management procedures in place as outlined in Warwickshire County Council's Requirements of Early Education Funding.

Comments:

1. Expenditure managed securely.
Signatories on bank account?
Authorised staff?
Invoices and receipts retained?

☐ YES ☐ NO

2. Cash payments accepted?

☐ YES ☐ NO

3. Robust invoicing system in place?

☐ YES ☐ NO

4. Debt management policy in place?

☐ YES ☐ NO

Procedure for record management and retention of business and financial documents (7 years)?

☐ YES ☐ NO

Comments:

Business and Finance

Copy Seen

Comments

Actions Agreed, Date + by Whom.

Up to date business planning processes in place relating to delivery of Funded Entitlement. (Revised within last 12 months)

☐ YES ☐ NO

Working cash flow forecasting process in place, preferably 3 years, relating to delivery of Funded Entitlement.

☐ YES ☐ NO

Marketing plan in place, regularly reviewed, linked to local market research.	<input type="checkbox"/> YES <input type="checkbox"/> NO		
Any additional business considerations?	<input type="checkbox"/> YES <input type="checkbox"/> NO		

Actions from previous Health Check and / or Audit		
What	<u>Completion date / by whom</u>	Update
.		

Early Education Funding Audit		
Parental Declaration Forms for every funded child for the term being audited –		Comments:
1. Correct form used?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
2. Session numbers / hours tally with claim?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
3. Contract signed by parents and setting?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
4. Signed + dated termly in advance by parents?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
5. Stretch / Term time offer – clear + correct?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
6. EYPP section completed, where claimed?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
7. DAF section?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
8. Unused 30 hr codes – any / why?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
9. Any child attending more than one nursery	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:
Charging tariff as displayed or handed to parents to verify FE provided free at point of delivery -		
1. Charges clear and transparent?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
2. Charges for additional services clearly displayed inc. number of funded hours?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
3. Funded models and sessions are clear and transparent inc. £0 for funded hours?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
4. Website refers to free entitlement & session times?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
5. Average / stretch / term time – clearly written?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
6. Registration fees – clear not for funded only places?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
7. Deposits – clear and refundable after 1 month?	<input type="checkbox"/> YES <input type="checkbox"/> NO	

8. Session times displayed / notified to parents, establish the FE session within these?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
9. FE model offered corresponds to advertised session times?	<input type="checkbox"/> YES <input type="checkbox"/> NO	

Copies of register or signing in sheets		Comments:
1. Child attendance matches claimed hours?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
2. Note key used for recording absence.	<input type="checkbox"/> YES <input type="checkbox"/> NO	
3. Completed in pen?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
4. Confirm settings policy for contacting and managing poor absence (funding may be withdrawn or reduced)	<input type="checkbox"/> YES <input type="checkbox"/> NO	
Copies of invoices / bills sent to parents showing FE free at point of delivery and additional hours are clear + link to fee / payment information.		Comments:
1. Zero charge invoices inc. funded only	<input type="checkbox"/> YES <input type="checkbox"/> NO	
2. No additional charges relating to FE	<input type="checkbox"/> YES <input type="checkbox"/> NO	
3. Additional charges match advertised rates and any payment arrangements e.g., annualised billing	<input type="checkbox"/> YES <input type="checkbox"/> NO	
4. Setting name and address clear on invoices?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
5. Child specific funded hours shown?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
Copies of bank statements to show receipt of Free Entitlement.		Comments:
• Funds used for business purposes	<input type="checkbox"/> YES <input type="checkbox"/> NO	

Claims for Homes for Ukraine Children (HUS)		Comments:
1. Child Attendance checked per quarter claimed?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
2. Aware of claim?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
3. Spend allocation.	<input type="checkbox"/> YES <input type="checkbox"/> NO	
Additional Information: -		Comments:
<ul style="list-style-type: none"> Copies of correspondence where there has been a change to Headcount claim i.e. child is entitled to a late payment in line with Requirements of Early Education Funding 	<input type="checkbox"/> YES <input type="checkbox"/> NO	

Early Education Funding Audit – Child Samples											
	Child ID	Child Initials	No of Weeks Attended	2 Help Disadvantaged Funded Hours	Working Family / Universal Weekly Funded Hours	Extended Weekly Funded Hours	Total Weekly Funded Hours	PDF	Invoice	Register	Comments
Under 2 YO				N/A							
2 YO											
3&4 YO				N/A							

Attendance & Punctuality check – where required. 1/1																															
Audited children’s initials and pattern of funded hours																															
Week beg:		02/09/2024					09/09/2024					16/09/2024					23/09/2024					30/09/2024					07/10/2024				
Child ID & Initials	AM PM	M 02	T 03	W 04	TH 05	F 06	M 09	T 10	W 11	TH 12	F 13	M 16	T 17	W 18	TH 19	F 20	M 23	T 24	W 25	TH 26	F 27	M 30	T 01	W 02	TH 03	F 04	M 07	T 08	W 09	TH 10	F 11
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Autumn Term 2024 Headcount date – 03.10.2024

Next Review Date:	
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The setting will receive a detailed Funded Entitlement Audit Summary and Action Plan following the meeting. Actions and timescales for completion will be agreed at the meeting.

The setting is responsible for ensuring that any actions are completed and returned to the Early Years & Childcare Sustainability Officer. In order to ensure there are no interruptions to the settings Funded Entitlement payments, actions must be submitted in line with the agreed action dates.

Name of Setting Representative:

Date:

Signature:

Name of Early Years & Childcare Sustainability Officer:

Date:

Signature: