

## WARWICKSHIRE COUNTY COUNCIL

### EARLY EDUCATION FUNDING BUSINESS HEALTH CHECK AND AUDIT

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

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

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
<b>OFSTED</b>					
URN:		Latest Ofsted Inspection Date		Outcome:	
<b>Marketing</b>					
Prospectus	<input type="checkbox"/> YES <input type="checkbox"/> NO	Copy Attached	<input type="checkbox"/> YES <input type="checkbox"/> NO		
Comments:					

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

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

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

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

## 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
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### Early Education Funding Audit

Parental Declaration Forms for every funded child for the term being audited –		<b>Comments:</b>
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	
Charging tariff as displayed or handed to parents to verify FE provided free at point of delivery -		<b>Comments:</b>
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		<b>Comments:</b>
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.		<b>Comments:</b>
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	<b>Comments:</b>
Copies of bank statements to show receipt of Free Entitlement.		
• Funds used for business purposes	<input type="checkbox"/> YES <input type="checkbox"/> NO	

<b>Claims for Homes for Ukraine Children (HUS)</b>		<b>Comments:</b>
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	
<b>Additional Information: -</b>		<b>Comments:</b>
<ul style="list-style-type: none"> <li>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</li> </ul>	<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:		01/09/2025					08/09/2025					15/09/2025					22/09/2025					29/09/2025					06/10/2025				
Child ID & Initials	AM PM	M 01	T 02	W 03	TH 04	F 05	M 08	T 09	W 10	TH 11	F 12	M 15	T 16	W 17	TH 18	F 19	M 22	T 23	W 24	TH 25	F 26	M 29	T 30	W 01	TH 02	F 03	M 06	T 07	W 08	TH 09	F 10
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<b>Next Review Date:</b>	
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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:**