## Annex B: Example audit working paper: templates

## Appendix 1 to Annex B: SSF audit results form

| 1. STUDENT NUMBERS | | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| **Institution:** | **XYZ INSTITUTION SIXTH FORM** | | |  | | |
|  |  | |  | | | |
| **LA:** | **ABC COUNCIL** | |  | | | |
|  |  | |  | | | |
| **Autumn 2015 Census Return** | | | | | | **Volume** |
| Number of students appearing on the institution's autumn 2015 census return | | | | | | 238 |
| Following review of evidence, number of eligible students in Year 12 or above who were on roll and qualify for the count | | | | | | 237 |
| **Variance** | | | | | | -1 |
| ***Reconciliation of Variance*** | |  | | |  |  |
|  |  |  | | |  |  |
| **Students appearing on the autumn 2015 census return who are ineligible** | | **Details** | | | | |
| Student 8 | | Visiting foreign student - should not have been included. | | | | |
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| **Students appearing on the autumn 2015 census return who did not satisfy attendance requirement** | | **Details** | | | | |
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| **Students who satisfied attendance requirements but did not appear on autumn 2015 census return** | | **Details** | | | | |
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| 1. Student’s Planned hours, Conditions of Funding and Qualifying Period | | | | | | | | | | |
|  | | | | | | | | | | |
| **Institution:** | | | | **XYZ SIXTH FORM** | | | | |  | |
|  | | | | | | | | | | |
|
|  | **Autumn 2015 Census: Errors identified that affect study programme funding band or lagged funding (include overstatement and understatement errors)** | | | | | | | | |  |
|  | **Student Name**  **(UPN)** | | **Description of Errors** | | **Original funding band** | **Adjusted funding band** | **Error amount £** | **Conditions of Funding (Lagged funding impact)** | |  |
|  | Student (1) |  | Ineligible activity included in planned hours | | 5 | 4b | £700 | N/A | |  |
|  | Student (2) |  | Qualifying period not met, student only in learning for 2 weeks | | 5 | N/A | £4,000 | N/A | |  |
|  | Student (3) |  | Student achieved GCSE Maths grade E but not studying maths | | N/A | N/A | N/A | Yes | |  |
|  | Student  (4) |  | Student achieved GCSE English grade E, 150 hours included in planned hours for GCSE English but no evidence of student studying GCSE English | | 5 | 3 | £1,300 | Yes | |  |
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| 1. DECLARATION | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | |  |  |  |  |  |  |
| **Institution** | | | **XYZ INSTITUTION SIXTH FORM** | | | | |  |
|  |  | |  |  |  |  |  |  |
|  | **Other findings (e.g. systematic errors) and comments** | | | | | | |  |
|  |  | | | | | | |  |
|  |  |  | |  |  |  |  |  |
|  | **Declaration** | | | | | | |  |
|  | I agree / do not agree with the details recorded in Sections 1, 2 and 3 above. I understand that any data errors reported will be passed to the EFA Allocations Team and may result in an adjustment to my institution's 2015/16 allocation. *(Please delete as applicable)* | | | | | | |  |
|  | ***If you do not agree, please provide your reasons.*** | | | | |  |  |  |
|  | Signed on behalf of institution | | |  |  | Date |  |  |
|  | *(Head teacher or designated senior member of staff)* | | | | |  |  |  |
|  |  |  | |  |  |  |  |  |
|  | Signed on behalf of the local authority | | |  |  | Date |  |  |
|  | *(Must be the auditor undertaking the review)* | | | |  |  |  |  |
|  |  |  | |  |  |  |  |  |

## Appendix 2 to Annex B: Audit working paper

**Sixth form assurance 2015 to 2016**

| **Institution:**  **Local authority:** |  | **Reference:**  **Prepared by:……………………………. Reviewed by:……………………..**  **Date:…………………………………….. Date:………………………………...** |
| --- | --- | --- |

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| Student data | | | | | | | | | Planned hours/ Conditions of Funding / Qualifying period | | | | | | |  |
| Ref | Student Name | Student UPN | Year Group | Date of birth | Start date | Actual end date | Funding Band | Should student be included in census (check eligibility status, residency, age etc)? | Has the qualifying period criteria been met (including the learning aim for Maths/ English)? | Evidence seen to support student has started study programme | Has the CoF for Maths been met, grade achieved? | Has the CoF for English been met, grade achieved? | What evidence is available to justify the student’s CoF status (any exemptions, prior attainment; stepping stone qualification) ? | Are the planned hours accurate/ planned/ timetabled/ supervised? | Is there a need to adjust the funding band? | Comments |
| **1** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **2** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **3** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **4** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **5** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **6** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

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