## 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. |
|   |   |
|   |   |
|   |   |
| **Students appearing on the autumn 2015 census return who did not satisfy attendance requirement** | **Details** |
|   |   |
|  |  |
|   |   |
| **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
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|   |
| **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  |   |
|   |   |   |   |   |   |   |    |   |
|   |   |   |   |   |   |   |    |   |
|   |   |   |   |   |   |   |    |   |
|   |   |   |   |   |   |   |    |   |
|   |   |   |   |   |   |   |    |   |

| 1. DECLARATION
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| --- |
|   |   |   |   |   |   |   |   |
| **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:………………………………...** |
| --- | --- | --- |

|  |  |  |
| --- | --- | --- |
| 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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