DUE DILIGENCE STAGE ONE REQUEST FOR INFORMATION FROM ALL SCHOOLS

Following the Family of Schools consultation meetings please find enclosed the Due Diligence documentation which we are asking all schools to complete. This will allow the diocese and the Project Board to establish a starting point for all schools across the diocese and allow a risk assessment to be undertaken for each area where the Family of Schools will be established.

It is important that you complete the application as fully as possible. If you have any queries on any sections of the form please contact:

Adrian Leggett of the Project Board adrianleggett@rcdow.org.uk for further guidance on the application form and the information required.

Once the form is completed please submit an electronic copy to Adrian Leggett at the above address, including the appendices documentation requested.

We recommend sending your files via We Transfer as it is secure and you get 2GB data transfer for free. <https://wetransfer.com/>

If your school then considers submitting a declaration of interest in the academies programme please also tick the relevant section on your proposed conversion date; this information will be used to support your school in establishing a tailored conversion plan in discussion with the diocesan consultants. This will ensure that each school is correctly supported in its journey to joining a CAT Family of Schools and will enable the diocese to mitigate potential risks to the existing CAT and any new members to ensure the standards and financial stability of both legal entities are protected throughout the process. It is important that you complete the application as fully as possible

Once the documentation has been received by the Academy Project Team a confirmation email will be sent to the school and there will be a fourteen working day review period of the information provided.

If your school has also submitted a declaration of interest for conversion; before the application is forwarded to the Academy Project Board for consideration during this period further information may be requested to seek clarification on the information provided. The aim of this process is to ensure any application queries are addressed before the Academy Project Board undertake their review. Once the Academy Project Board have reviewed your school application a meeting will be arranged to discuss your schools realistic conversion timescale based on the information provided. The Academy Project Board will then delegate a representative to work with your school to plan the work streams and statutory programme to meet this timescale for your school’s conversion programme.

We look forward to working with your school community.

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| Family of Schools school located within: |  |
| Does this application include a request to convert | Yes/No |

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| SCHOOL CONTACT INFORMATION ALL SCHOOLS |
| Headteacher  |    | Headteachers Email  |   |
| Chair of Governors  |  | Chair of Governors Email  |   |
| School Name  |   | DFE Number  |   |
| Local Authority  |   | School Website address  |   |
| School E-mail  |   | Phase of Education  |   |
| Phone | Fax  |   | Forms of Entry  |   |
| SCHOOL INFORMATION ALL SCHOOLS |
| School Address  |   |
| Primary School Number on roll (Reception to Year Four)  |   |
| Nursery roll  |   |
| Secondary School Number on roll (Year Seven to Eleven)  |   |
| Sixthform roll  |   |

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| INSPECTION INFORMATION ALL SCHOOLS |
| Last OfSTED Inspection date  |  | Second Most recent OfSTED Inspection date  |  |
| Judgement of Overall Effectiveness  |  | Judgement of Overall Effectiveness  |  |
| Judgement on capacity for sustained improvement  |  | Judgement on capacity for sustained improvement  |  |
| Last Section 48 Inspection date  |  |  |  |
| Overall Effectiveness of this Catholic School  |  |   |   |
| Any relevant comments  |   |

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| STANDARDS INFORMATION ALL SCHOOLS |
| Primary School Information please complete on Excel workbook |
| Secondary School Information please complete on Excel workbook |
| CAT APPLICATION IF APPLYING TO CONVERT |
| Please advise why your school wishes to join the Catholic Academy Trust.  |  |

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| When would your school wish to convert?  |  |
| Are the Education Commission aware of your request?  |  |
| Have you contacted your Local Authority?  |  |

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| FINANCIAL INFORMATION ALL SCHOOLS |
| Please attach a copy of your lastthree end of yearCFR Statements |   Attached  |
| Please attach a copy of your lastLocal Authority Audit |   Attached  |
| Date of last Audit of Non Public Funds |  |
| Please attach a copy of your latest SFVS. |   Attached  |
| Please attach a copy of your latest three year budget plan. |   Attached. Please complete Excel workbook  |
| Please attach a copy of yourpredicted schoolroll that supportsyour three year budget plan |  Attached. Please complete Excel workbook  |
| Please complete | Please complete sheet on Non Public Funds in Excel workbookPlease provide plans for expenditure for committed funds below:  Please provide details of your end of year bank balances for the last three year ends in your Local Authority Main School Account :

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| --- | --- |
| Year Current |  |
| Previous Year end |  |
| Previous Year end |  |

 Date Tax and NI paid for the monthly payroll each month:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Date pension contributions paid each month to LGPS and TPA:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Payroll provider:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

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| --- | --- | --- | --- | --- | --- |
| Staffing Expenditure percentage by schoolFor current year |  |  | Staffing %Of TotalExpenditure |  | Staffing costs % of Grant Income |
| Does your school have any loans from the Local Authority  |   |  | Yes Please completebelow  |  | No |
|  |  |
|   |  How will these be repaid on conversion:Does your school have a Recovery Plan in place currently: If yes please provide a copy. |
| Current Financial software used in school: |  |
| Number of Finance staff currently based at the school and their specific job title: |  |
| Please attach a copy of your last CES Census |   Attached |
| Please attach a copy of your last three years school roll. (Census Returns for October) |   Attached  |
| Please copy school roll details onto Excel worksheet and explain any variation in roll |  | Roll variation comments  |

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| PREMISES INFORMATION  |
| Do you have Diocesan approved consultants supporting your school. (Please provide name)  |    |  | Yes  |  | No   |
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| When was your last conditions survey undertaken?  |   |
| Please provide details of your most recently approved Capital Project. Please advise if the project is completed. |   |
| Capital Funding over the past three years to school. |

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| Year One |  |
| Year Two |  |
| Year Three |  |

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| When was your last Health and Safety survey completed?  |  Any outstanding items not yet addressed under high priority:  |
| When was your last Asbestosis survey undertaken?  |   |
| When was your last Fire Risk Assessment completed? |  |
| Are any of your buildings listed and if so does the school have the responsibility to maintain them.  |   |  | Yes please provide details below: |  | No  |
|  |   |
|  |   |
| Please provide as much detail as possible on what areas of the building are listed e.g. interior/ exterior.  |  |
|
| Have any buildings or areas of buildings on your school site been condemned. |  |  | Yes |  | No |
| Are there any serious property issues that the Board would need to be aware of which would impact on the school delivering education to its school community over the next 24 months.  | Details: |  | Yes |  | No  |
|  |   |
| School Property and Land Please provide details of any land or buildings used by the school not held under the Diocesan Trustees.   |   |
| Are there any buildings held under lease agreement please provide details and if available copy of lease agreement: |  |
| Length of the lease agreement:  |   |
| Remaining term on lease on application to the CAT:  |   |
| Please provide a copy of your current insurance policy |  |
| When was your last insurance claim, what was it for? |  |
| Do you have any Professional Liability Claims in Progress or pending? |  |
| Do you have any Public Liability Claims in Progress or pending? |  |
|  LEGAL INFORMATION  |
| Do the school retain solicitors: Yes / NoIf Yes please provide details below of contact address: |
| Are there any on- going legal actions the governing body are involved in? (Please provide details) |  |  Yes |  |  No |
| Are there any impending tribunals or staff dispute actions? (Please provide details) |  |  Yes |  |  No |
| Are all staff employed on CES contracts. |  |  Yes |  |  No |
| Have the governing body adopted the CES policies and procedures to support the CES contracts for Grievance /Disciplinary Sickness/Appraisal |  |  Yes |  |  No |
| Are any Staff currently on any stages of the above CES policies.Please advise number of staff and which CES policy. |  |  |  |  |
| Are any Staff currently on any stages of the above CES policies.Please advise number of staff and which CES policy. |  |  |  |  |
| Please attach a copy of your Performance Management Policy and confirm date of last report on PM to FGB |  |  |  |  |
| Please attach a copy of the pay scale ranges being used by your Governing Body for Teachers and Support Staff |  | Attached |
| Please attach a copy of your Pay Policy.  |  |
| Please attach a copy of your Pay Policy.  | The Trust as a single entity has adopted one policy for the Trust, the committee will need to review your school policy and advise if there will be any additional cost to the school in transferring staff across to the CATs pay scales. |
| Please attach a copy of your current Safeguarding Policy and date of last Safeguarding Audit by Safeguarding Governor. |  |
| Please attach a copy of your current Safeguarding Policy and date of last Safeguarding Audit by Safeguarding Governor. |  |
| Please detail name ofSafeguarding Lead staff memberSafeguarding Governor |  |
| Any Safeguarding incidents at the school reported in last twelve months? |  |
| Number of complaints Heard by a GovernorsPanel in last twelveMonths? |  |
| Complaints PolicyDate of last review. |  |
| School current contracts | Please complete sheet on Excel workbook attached |

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|  SCHOOL GOVERNANCE |
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| --- | --- |
| Categories of School Governors | Number of Current Governors |
| Foundation |  |
| Parent |  |
| Staff |  |
| L.A |  |
| Community |  |
| Co-opted |  |
| Other |  |
| Number of Governors per Instruments and Articles |  |
| Current vacancies on Board |  |
| Date of last skills AuditPlease attach summary copy |  |
| Name of Clerk to Governing Body |  |
| Email address for Clerk |  |
| Has a Governors Review been undertaken at your school? |  Yes / No |
| Date of last SEF review by Full Governing BoardPlease attach copy. |  |
| Date of last review of School Development Plan by Full Governing Board.Please attach copy |  |
| Name of Pupil Premium Lead at the school |  |
| Date of last review of Pupil Premium Grant and Expenditure Impact by FGB |  |
| Primary Schools only:Date of last review of Sports Premium Grant and Expenditure Impact by FGB |  |
| Pupil Premium Statement included on school website | Yes /No |
| Primary Schools only:Sports Premium Statement on school website | Yes/No |
| Copy of last three sets of Full Governing Boards Approved Minutes for schoolPlease attach |  |

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| Signature |
| Headteacher  | Chair of Governors |
| Date  | Date  |

Section Two

OUTCOME OF DUE DIGLIENCE REPORTS ACADEMY PROJECT TEAM TO COMPLETE INITIAL REVIEW WITHIN FOUTEEN DAYS OF RECEIPT

|  |  |
| --- | --- |
| Date received initial application |  |
| Is application complete with appendices | Yes /No |
| Date missing information chased |  |
| Date missing information received |  |

Review of School Application for Conversion Purpose of the review is to identify any issues which may impact or delay the schools conversion early in the process so an action plan can be put in place

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| --- | --- | --- | --- |
| Section | Completed Yes/No | Comments | Action |
| School Contact Information |  |  |  |
| School Information |  |  |  |
| Inspection InformationIf below Good please ensure OfSTED or S48 report attached with areas highlighted for actionReview any relevant comments made by school |  |  |  |
| Standards InformationNote any downward trends in three year data |  |  |  |
| CAT ApplicationConversion date requested by school |  |  |  |
| Financial InformationIf school is in deficit please note amount and length of time.Please check there is a Recovery Plan in place and a copy is attached. |  |  |  |
| Date last Audit if more than three years please highlight |  |  |  |
| Three year Budget plan if expected deficit in next three years please highlight |  |  |  |
| Review actual spend columns to Budget Plan are there significant differences in either income or expenditure costs between what school has actually spent and their future budget plan.Highlight if there is in comment |  |  |  |
| % school spends on staffing of Expenditure if above 80% please note | ` |  |  |
| % school spends on staffing of Grant income if above 80% please note |  |  |  |
| If school has an L.A loan please highlight outstanding balance due to L.A |  |  |  |
| Review school roll to Budget Plan student numbers are they realistic?Highlight any variances above 5% |  |  |  |
| Premises Information |  |  |  |
| Capital projects in progress date of completion |  |  |  |
| Health and Safety outstanding items under high priority highlight |  |  |  |
| Listed buildingsHighlight if there are and who has ownership |  |  |  |
| If any condemned buildings ensure noted on a site map  |  |  |  |
| Potential school closure within 24 monthsHighlight  |  |  |  |
| Buildings and Land not in TrusteeshipHighlight is ownership documentation has been located |  |  |  |
| Any leased propertyPlease check there is a lease agreement copy attached.This will need to be located highlight if missing.Note remaining lease term. |  |  |  |
| Outstanding insurance claimsSeek clarification from school if anything noted on value of potential settlements. |  |  |  |
| Legal InformationIf any legal actions noted check details have been provided.If any staff disputes check details providedIf school not using CES contracts highlight for Project BoardCheck Pay Policy is attached.Note any significant variances to expected norms i.e review to expected scales based on Pay and Conditions documentation.Safeguarding highlight if no Audit undertakenSafeguarding highlight number of incidents in last twelve months.Highlight number of complaints heard by FGB Panel |  |  |  |
| School GovernanceCheck vacancies on Board to size of Board highlight  |  |  |  |
| Check date SEF reviewed |  |  |  |
| Check date SDP reviewed |  |  |  |
| Check Pupil Premium information has been reported |  |  |  |
| Check for Primary SchoolsSports Premium has been reported |  |  |  |
| Check minutes are attached for Academy Project Board to review. |  |  |  |
| Do the school have a current Clerk in post |  |  |  |

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| Reviewed by |  |
| Date |  |

ACADEMY PROJECT BOARD REVIEW

Following the outcome of the Due Diligence investigations a SWOT analysis should be complied stating the current position of the individual school for the Academy Project Board.

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| MACRO SWOT OF INDIVIDUAL SCHOOL CONVERTING |

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| --- | --- |
| STRENGTHS | WEAKNESSES |
|  |  |
| OPPORTUNITIES  | THREATS |
|  |  |

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| SWOT OF ALL POTENTIAL ACADEMIES IN CAT WITH ADDITIONAL JOINER |

|  |  |
| --- | --- |
| STRENGTHS | WEAKNESSES |
|  |  |
| OPPORTUNITIES  | THREATS |
|  |  |

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| --- |
| PEST ANALYSIS OF INDIVIDUAL SCHOOL CONVERTING |

|  |  |
| --- | --- |
| POLITICAL | ECONOMIC |
|  |  |
| SOCIAL | TECHNOLOGICAL |
|  |  |

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| PEST ANALYSIS OF CAT WITH ADDITIONAL JOINER |

|  |  |
| --- | --- |
| POLITICAL | ECONOMIC |
|  |  |
| SOCIAL | TECHNOLOGICAL |
|  |  |