

Due Diligence Questionnaire

The questionnaire below is designed to be a guide for schools considering academy conversion. It represents the information that should be collated and considered in support of an application by the school to the Diocese for consent to become an academy and join the designated Catholic Education Trust (CET). The information will be considered by both the Diocesan Academies Partnership Committee (APC) and the relevant CET. This will form part of the due diligence in respect of the prospective academy and will inform any strategic plan to be formulated by the CET. The school shall use all reasonable endeavours to provide the information requested and will respond to any further enquiries made by either the APC, the Diocesan Trustees or the CET Trust Board. The Diocesan Trustees reserve the right to require an independent audit of the school's finances, the cost of which will be met by the school.

School: []

Address: []

Catholic Education Trust: []

School Contact Details: []

	Information	Confirmed enclosed (?) or (?) and/or date to follow	Issues Arising
A	Legal and Compliance		
1	Governance – Copy of Instrument of Government and details of current appointments to the Governing Body (identifying any vacancies).		
2	Inspections – Copy of reports following inspections carried out in the last 2 years (i.e. Ofsted, s.48).		
3	School Improvement – Copy of the School’s current development plan.		
4	Contracts and Activities – List of current contracts that might be affected by the MAT proposals, ideally showing renewal dates and those currently under negotiation or being terminated.		
5	Contracts and Activities – Details of any grants, sponsorship or funding received from third parties including the LA where there is still unspent grant and whether any grant or fund raising applications have been submitted for matters referred to in the School’s development plan (to whom and with an indication of when any response is expected).		
6	Complaints and Disputes – Is the School involved in any litigation? If so, please provide details.		
B	Finance		
1	Budget - Please provide the approved or working budget for the School for the current academic year.		

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2	Budget - Please provide any prospective budget for the School for the next academic year, including details of any planned significant major capital expenditure.		
3	Budget – Please provide copies of the last 3 years’ School Budget Share notifications and details of pupil numbers compared to PAN. Please confirm if there are any current proposals to increase or decrease PAN.		
4	Deficits – If the Academy’s budget is or anticipates a deficit or shortfall against income, please explain what measures are intended to be taken to address such deficit.		
5	Debts – Details of any significant outstanding debts or liabilities of the School (including any loans from the Diocese), including any payment plan agreed or proposed to meet such liabilities.		
6	Reserves - Details of any reserves or surpluses carried forward by the School and indicate whether any such reserves have been earmarked for expenditure.		
7	Income/Grant – If not apparent from the School Budget Share, details of any income generated by the School, including any special education needs funding or LA funding for specific activities or services provided, including income relating to any resource unit, children’s centre, nursery, shared posts.		
8	What are your current banking arrangements and how do you pay your suppliers?		
9	What financial packages do you use?		

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10	Please provide a copy of your latest SFVS (Schools Financial Value Standard) audit and the progress of any actions resulting from this.		
C	Employees		
1	Staff Benefits – Details of any existing or proposed scheme (whether contractual or not) to provide payments of benefits on redundancy or termination, or any staff loans made or to be made to any current, former or prospective employee employed at the School.		
2	Termination of Employment – Details of any person employed or engaged in connection with the School who has given or received notice to terminate their contract. Personal details are not required, only the role undertaken and the circumstances of the termination i.e. whether redundancy, restructuring, dismissal or voluntary resignation.		
3	Absences – Please provide a copy of your absence record (anonymised), including details of payments under any sickness, disability or permanent health insurance scheme.		
4	Disputes – Details of any existing or likely dispute, claim or legal proceedings involving or affecting any person currently or previously employed or engaged in connection with the School, including any action taken by any trade union, staff association or similar organisation.		
D	Property		
1	Site – Please provide a schedule of all freehold or leasehold property owned, occupied, used or controlled by or in connection with the School, including copies of all leases, licences, agreements		

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	and site plans relating thereto EXCEPT any land held by the Diocesan Trustees. Any land held by the LA should be marked on the site plan.		
2	Site – Is the School aware of any outstanding statutory transfers? Please provide details and evidence of any discussions with the LA.		
3	Shared Use – Details (including copies of any agreements) of any third parties who may use the Site on a regular basis, excluding occasional lettings and community use but including use by other schools, use by the Local Authority and use by third party contractors (including in relation to any car parking, sports or recreational facilities).		
4	Significant Capital Works – Details of any part of the Site recently funded or developed or intended to be funded or developed under any formal programme for capital works, such as PFI, Building Schools for the Future, Priority School Building Programme, LCVAP, Targeted Basic Need. Are any agreements in place for the delivery of such works or the funding of such works?		
5	Disposal – Details of any contracts or negotiations with third parties for the disposal of any part of the Site (whether conditional or not), including whether any consent in principle or actual has been sought from the DfE/Diocesan Trustees.		