



**WEST NOTTINGHAMSHIRE COLLEGE
AUDIT COMMITTEE**

Minutes of the meeting held in the Board Room, Derby Road site on Thursday 15th March 2018 at 3.30 pm

MEMBERS PRESENT: Jamie Fryatt, Chair
Lee Radford
Darren Wilkinson

ALSO IN ATTENDANCE: Maxine Bagshaw, Clerk to the Corporation
Andrew Martin, Deputy Principal/Director of Finance
Alastair Thomson, Deputy Principal/Director of Finance (from 3.50 pm)
Tom Stevens, Deputy Principal: Business Development
Dame Asha Khemka DBE DL, Principal and Chief Executive
Louise Knott, Vice Principal: Communications, Engagement and Student Experience
Gavin Peake, Director of IT
Alasdair Coulson, KPMG
Asam Hussain, RSM

Auditors confirmed that they did not wish to meet with members of the Committee without management present.

ACTION by whom	DATE by when

1 APPOINTMENT OF THE COMMITTEE CHAIR FOR 2017/18

The Clerk advised that, since the last meeting, David Overton has stepped down as a Governor and therefore an alternative Chairman needs to be identified for this committee for the remainder of the academic year.

Jamie Fryatt was nominated as the Committee Chair, this nomination was seconded and approved.

AGREED: to appoint Jamie Fryatt as the Committee Chair for 2017/18.

2 DECLARATION OF INTERESTS

The Chair reminded everyone present to declare any interests that they may have. No interests save for standing declarations were noted.

3 WELCOME INTRODUCTIONS & APOLOGIES FOR ABSENCE

Apologies for absence were received from Neil Robinson and Louise Tweedie at RSM.

Signed : _____ Chair

Date:

4 **MINUTES OF THE MEETING HELD ON 30TH NOVEMBER 2017**

The minutes were reviewed and it was agreed that they were an accurate record of discussions.

AGREED: to approve the minutes of the meeting held on 30th November 2017.

There were no matters arising.

5 **ACTION PROGRESS REPORT**

The Committee were happy to note the content of the progress report provide.

6 **INTERNAL AUDIT REPORTS**

1) Framework for compliance with legal requirements – Health and Safety

RSM presented their written report and drew members' attention to page 15. They confirmed that the outcome of the audit is 'a reasonable assurance'. They confirmed that there were lots of positives seen during field work and that there is much that the College should be pleased with. Members' attention was drawn to section 1.3 of the report which sets out the key findings. As an overall observation, auditors felt that there were good reporting processes in place. In terms of health and safety training, the records kept in relation to this need to be updated and cleansed and this is now underway.

The Committee considered page 18 and the recommendation to update the health and safety document and present to the Corporation. It was explained that the failure to present to the Board was an oversight and it was acknowledged that it is usually presented annually. As an overview comment the Committee agreed that the internal audit report was incredibly comprehensive. They noted the positive tone of the report and generally felt that the improvements identified were housekeeping matters.

Q One member of the Committee questioned whether the College is satisfied in terms of its 'near misses' and reporting in relation to the same. The Deputy Principal: Business Development expressed the view that the College cannot respond with 100% certainty on this, however it is known that the health and safety team do push for full and transparent reporting. The Committee challenged the senior team and expressed the view that they would like to be sure that the reporting of near misses is not too onerous as, in their view, there are valuable lessons that can be learned from these occasions.

CH

Signed : _____ Chair

Date:

AGREED: to note the content of the report provided.

2) Audit progress report

RSM drew members' attention to page 49 of the pack, they explained that this summarises the work planned for the year and sets out the current progress regarding each element of the fieldwork required. The progress update also includes their internal audit charter which is a sector requirement, this sets out the formalities required in relation to impartiality, independence etc.

AGREED: to note the content of the report provided.

3) Benchmarking report

RSM introduced their report and confirmed that it is hoped that the comparison with other clients provides a useful snapshot. The Committee's attention was drawn to page 57 which shows that the control framework within the College is improving and the position at WNC compares favourably with others in the FE sector. The Committee, whilst finding the benchmarking report reassuring, did make the observation that risk items and issues identified very much depend on the risk framework and attitude toward risk of each of the organisations who contribute to the benchmarking pool. RSM confirmed that in their view internal audit works best when they are directed to areas of concern within a College.

AGREED: to note the content of the report provided.

7 COMPOSITE COLLEGE RECOMMENDATIONS REPORT

The Deputy Principal introduced this item and drew members' attention to the summary provided on page 63. In relation to the actions still outstanding from 2016/17, principally in relation to apprenticeship provision, these will now be dealt with as part of the restructuring process being undertaken. In terms of the total number of actions outstanding from 16/17 the number has reduced by 1, however it is anticipated that by the end of this academic year more (particularly in relation to apprenticeship provision) will be concluded.

In relation to the actions identified in 17/18 one has been cleared with the remainder due for completion this month.

AGREED: to note the content of the update provided.

8 ESF AUDIT OUTCOMES UPDATE

The Deputy Principal provided a verbal update and reminded the Committee that the ESFA undertake an audit in relation to activity which is match funded.

Signed : _____ Chair

Date:

The audit at College was a preparatory audit for the greater division audit. Auditors were on site last week. Verbal feedback was provided, mainly around the use of the ESF logo and strapline. There were no issues identified with funding risks and those matters highlighted were more to do with compliance in terms of ESF requirements.

He indicated that he was unsure whether the College will receive a written report, however in its absence he was able to report that there would be no impact or issues arising following the audit.

AGREED: to note the content of the update provided.

9 **GDPR UPDATE**

The Director of IT presented his written report and he confirmed that the College was progressing through its action plan. The law in relation to GDPR is in its second reading and therefore the sector, and more broadly, are awaiting the final document before final steps can be taken to complete the compliance work required.

He drew members' attention to page 70 and confirmed that a risk assessment of the Colleges plan and activities has been undertaken and the positions compared between January and February. He confirmed that matters are moving in the right direction. He confirmed that a final rewrite of the policies will take place once the law has been finalised this month.

(Alastair Thomson joined the meeting at 3.50 pm)

He confirmed that the focus for the College has been on its structured data and the message generally is that the ICO is less worried about data stored on paper. He expressed confidence that the College will be fully compliant in terms of its structured data by the deadline in May 2018.

The Committee were advised that internal auditors have also provided verbal feedback following their on site assessment. There were 'no surprises' with all issues identified being ones that the College was aware of and is working towards completing before the deadline.

In relation to section 6 of the report, and the risks associated with data loss, the Committee questioned whether there have been any examples of when consideration had been given to reporting an incident to the ICO. The Director of IT explained that there had only been one occasion in 2017, this was a lost letter internally, however, the breach was not deemed sufficient to be reportable to the ICO.

AGREED: to note the content of the update provided.

Signed : _____ Chair

Date:

10 **CONFIDENTIAL ITEMS**

It was agreed that confidential items would be recorded separately.

11 **ANY OTHER BUSINESS**

There were no items of additional business.

12 **DATE AND TIME OF NEXT MEETING**

The Clerk confirmed that the next scheduled meeting was 19th April 2018 at 5pm

Meeting closed at 4.10 pm.

Signed : _____ Chair

Date: