



**WEST NOTTINGHAMSHIRE COLLEGE
AUDIT COMMITTEE**

Minutes of the meeting held in the Board Room, Derby Road site on Thursday 19th April 2018 at 5.00 pm

MEMBERS Jamie Fryatt, Chair
PRESENT: Lee Radford
Darren Wilkinson

ALSO IN ATTENDANCE: Maxine Bagshaw, Clerk to the Corporation
Alastair Thomson, Deputy Principal/Director of Finance
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, Estates and Learning Resources
Alasdair Coulson, KPMG
Louise Tweedie, 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	<u>DECLARATION OF INTERESTS</u>		
	The Chair reminded everyone present to declare any interests that they may have on agenda items to be discussed. No interests save for standing declarations were noted.		
2	<u>WELCOME INTRODUCTIONS & APOLOGIES FOR ABSENCE</u>		
	There were no apologies for absence with all members of the Committee present.		
	The Clerk advised that since the last meeting she has received a resignation from Neil Robinson the External Committee Co-optee. She confirmed that efforts would be made to identify a replacement and also strengthen membership through new College Governor recruitment.		

Signed : _____ Chair

Date:

3 **MINUTES OF THE MEETING HELD ON THE 15TH MARCH 2018**

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 15th March 2018.

There were no matters arising.

4 **ACTION PROGRESS REPORT**

The Committee considered the table provided and were happy to note the content provided.

5 **INTERNAL AUDIT REPORTS**

Louise Tweedie from RSM introduced a number of reports.

1) GDPR Governance Framework

She presented the very detailed report and expressed the view that the College was very much 'on a journey' at the time that the fieldwork was completed. Auditors could see evidence of processes and procedures being developed. She confirmed that the brief was to compile an advisory report.

Members' attention was drawn to page 4 of the report which sets out the detailed findings. There are eight recommendations in total, some of which are principally to do with obtaining the necessary consents and mostly relevant in relation to students. In terms of consents she explained that guidance within the sector regarding 'children' is still being developed. The view is that for nursery school children consents will be required from the parents. For students aged 14 to 16, who provides the consent will very much depend on the capability of the individual.

Gavin Peake the Director of IT expressed the view that there were no surprises within the recommendations made and in fact all of the items identified were already on the Colleges own action plan. A suggestion made by the Committee was to potentially include a GDPR compliance audit in the schedule of activity for the next academic year.

The Director of IT confirmed that by the deadline date in May the College will have all of the required processes in place. What it will not have however are entirely completed policies, he explained that the GDPR laws only obtain royal ascent the day before the deadline and therefore there will be insufficient time to ensure that policies drafted are cross referenced with the laws.

Signed : _____ Chair

Date:

Assurance was given that this will be undertaken shortly after the deadline date. He indicated that GDPR requirements in relation to paper records will be dealt with as a second stage process and this is something that is acceptable to the Information Commissioner's office. He provided assurance that staff will receive regular updates and training in relation to GDPR. He provided assurance that all paper based enrolments are fully compliant, however there are a few forms that need to be changed particularly regarding photography consents. He advised that there were two key aspects of GDPR that the College needs to avoid these are a) a breach and b) a complaint.

The Committee took the opportunity to commend the Director of IT for his personal commitment to undertaking staff training, they acknowledged that this had been a huge exercise. The Director of IT indicated that he and the data team have seen a 100% increase in staff questions regarding data processing which is encouraging and shows that the training provided has been effective.

AGREED: to note the content of the report provided.

2) Academic Performance Monitoring Framework

Auditors introduced this report and explained that what had been considered was the Colleges processes rather than whether the targets set were appropriate. She drew members' attention to section 1.2 which is the conclusion of the report which shows reasonable assurance. There were a number of recommendations made, these include

- The College does not have a formal policy for academic performance monitoring but is currently in the process of producing a tracking policy/procedure document.
- Once a student's personal learning record is downloaded this is sent off to ALPS to generate a national target grade. Students are also encouraged to record their own personal grade target within Pro Monitor which can be amended throughout the year.
- The College has introduced 6 weekly progress reviews to track and monitor student academic performance using Pro Monitor.

She explained that in a number of areas it was clear to see that processes are in place, however in some instances the evidence of actions was not clear. The Committee agreed that it would be useful for the Standards Committee to receive sight of this report and also an update on progress against actions agreed at the next meeting of the Standards Committee. They felt that there would be merit in the Standards Committee considering a quarterly report to monitor the academic performance framework. They also requested that targets and achievement in relation to academic performance be included on the KPI report to the Board.

Julian Smith	14 th June 2018
Julian Smith	Each Standards meeting
Director of IT	Board meetings

Signed : _____ Chair

Date:

AGREED: to note the content of the report provided.

3) Internal Audit Progress Report for 17/18

Members' attention was drawn to page 3 which sets out where fieldwork has been completed, in progress or planned. In relation to the Governance Framework for all subsidiary companies it was explained that the HR element of fieldwork has been postponed because of the current demands on the HR teams time, however it is expected that this will be concluded before the June meeting.

AGREED: to note the content of the update provided.

4) Further Education Risk Management 2018

Auditors presented a publication that they have developed for all clients. It sets out key risks in the sector. She was pleased to report that there is nothing within the top 5 themes that is missing from the Colleges own risk register.

AGREED: to note the content of the report provided.

6 COMPOSITE COLLEGE RECOMMENDATIONS REPORT

The Deputy Principal introduced this item and confirmed that, in terms of actions outstanding, all are being worked on however some are taking slightly longer than originally expected. He advised that all College teams are currently going through significant change at the moment and this is not helping to progress actions as quickly as may otherwise be the case.

The Committee questioned whether there are any actions which are a concern in terms of not hitting the agreed deadline. The Deputy Principal expressed the view that there were no actions outstanding of concern and that in many instances it is a matter of simply underestimating the time needed to move to the one file system.

AGREED: to note the content of the update provided.

7 GDPR UPDATE

The Board acknowledged that they had received an update on the Colleges current position through the internal audit report discussions.

Signed : _____ Chair

Date:

8 **POST 16 AUDIT CODE OF PRACTICE 2017/18**

The Clerk advised that this new code had been included for information purposes. She advised that RSM are producing a client briefing to summarise the changes, which are on the whole, not significant. One change that the Committee may wish to note is the prohibition now of staff Governors being members of the Audit Committee, albeit that this was not relevant at WNC.

AGREED: to note the content of the new Post 16 Audit Code of Practice.

9 **ANY OTHER BUSINESS**

The Chairman requested that, if at all possible, Committee members received copies of their papers much earlier than has been the case on this occasion. Whilst acknowledging that staff are currently all stretched, he did however indicate that from a personal point of view it was very difficult to thoroughly prepare for a meeting without having papers well in advance.

10 **DATE OF NEXT MEETING**

The Clerk confirmed that the next scheduled meeting was 28th June 2018.

11 **CONFIDENTIAL ITEMS**

It was agreed that confidential items would be recorded separately.

Meeting closed at 5.35 pm

Signed : _____ Chair

Date: