

MINUTES OF THE AUDIT COMMITTEE MEETING

HELD ON THURSDAY 20 MAY 2010

PRESENT:

D Mead [Chair] J Hehir S Harries P Vine
C Jones

IN ATTENDANCE:

M Dacey K Holley D Bennett [AC09/10: 045]
K Booker E Glew [AC09/10: 47] A Tregoning [AC09/10: 049]
C Heffey [AC09/10: 48] R Larcher [Clerk] W Huxford [AC09/10: 50]
D Williams [RSM Tenon – Internal Auditors]

PART I – NON CONFIDENTIAL ITEMS

AC09/10: 040

APOLOGIES

ACTION &
TIMESCALE

Noted [i]: Apologies were received from:-
M Thomas

AC09/10: 041

DECLARATIONS OF INTEREST

Noted [i]: There were no declarations of interest of
Members and Officers present at the meeting.

AC09/10: 042

MINUTES [PART I]

Noted [i]: The contents of the minutes of the meeting of
the Audit Committee [Part I] held on 17.03.10.

**Resolved [i]: That the minutes of the Audit Committee
[Part I] held on 17.03.10 were approved.**

**CLERK
20.05.10**

AC09/10: 043

MATTERS ARISING

Noted [i]: There were no matters arising.

AC09/10: 044

EXCEPTIONS REPORT [PART I]

Noted [i]: This item was led by R Larcher, Clerk to the
Corporation who informed the Committee that both
Exceptions would be covered by agenda items.

**RISK MANAGEMENT & CONTROL REGISTER –
LEARNER SERVICES**

Noted [i]: D Bennett, Learner Services Manager, attended the meeting and presented this report.

Noted [ii]: The following points were noted:

- The highest activity risk is that necessary support services may be unavailable at times of extreme crisis which is scored at 144 on the presented Risk Control Register (RCR).
- Learner Services (Lnr Serv) are linked to the Local Safeguarding Children Board as the Director for Learners (DfL) is a member and Lnr Serv Manager attends when DfL is unavailable.
- The Committee view that as five good practice 'Controls' are currently in place, the 'Status of Control' should not be amber as presented but should be green and the 'Likelihood' score reassessed downwards.
- The Committee view that the target date of July 2011 to fully implement the identified missing control is too long and the date be brought forward due to the risk outlined.
- The Committee view that the target date of July 2011 to fully implement the identified insufficient control to Activity Risk 2.5 too long and the date be brought forward due to the risk outlined.
- The amendments are to be included as an instruction from the Audit Committee who approve the RCR – Learner Services only as amended.

**LNR SVS
MGR
05.07.2010**

**LNR SVS
MGR
05.07.2010**

**LNR SVS
MGR
05.07.2010**

Resolved [i]: The Learner Services Manager is to amend the Risk Management & Control Register – Learner Services in line with Audit Committee instruction by 05.07.10 informing the Clerk to the Corporation when complete to enable reporting back to the Committee and Board.

**LNR SVS
MGR
05.07.10**

Resolved [ii]: The Audit Committee approves the Risk Management & Control Register – Learner Services only as amended at this meeting.

**AUDIT CTTE
20.05.10**

WJEC EXAMINATION BOARD REPORTS

Noted [i]: These reports were presented by K Holley, Vice Principal: Finance & Information Services.

Noted [ii]: There were two brief reports by WJEC on inspections into the examination arrangements on the Neath and Afan Campuses undertaken in January 2010.

Noted [iii]: Both examination centres were found to have “*excellent organisation and administration*”.

Noted [iv]: The congratulations of the Committee to the management and staff for the very pleasing reports illustrating the first class and thorough procedures used in the College.

DISCIPLINE & GRIEVANCE INTERNAL AUDIT RECOMMENDATIONS UPDATE

Noted [i]: E Glew, Human Resources Manager, was present at the meeting and presented this report.

- Only one significant recommendation had been made by the Internal Auditors, to design a standard form and append to the Grievance Policy and the form was appended to the report presented for approval by the Audit Committee.
- Consideration of extending the timeframes led to clarification that the 20 day limit is a maximum for the College to respond, that compliance with the new timescales will be monitored and regular reviews of compliance will be undertaken to ensure there is no slippage.

Resolved [i]: The Internal Audit Report Action Plan Update Human Resources – Disciplinary & Grievance is approved.

**AUDIT CTTE
20.05.10**

CRIMES DATABASE UPDATE

Noted [i]: C Heffey, The Facilities & Estates Manager, was in attendance and presented this report.

Noted [ii]: The Committee request that a full written report be brought before the next Audit Committee to allow consideration of the matter within the full context of the issue.

Resolved [i] That a written report on the status of the Crimes Database, with sample incident reporting forms, is brought to the Audit Committee at its meeting scheduled for 22.09.10.

**CLERK/F&E
MGR
20.09.10**

PONTARDAWE NURSERIES

TIMESCALE

Noted [i]: A Tregoning, Nurseries Manager, was in attendance and presented these three reports.

Noted [ii]: The overall very complimentary nature of the reports.

Noted [iii]: The declaration for 'fit person' checks has been signed and dated by the Registered person and sent to CSSIW in compliance with the good practice recommendation made in the report.

Noted [iv]: The CSSIW has been supplied with a newly devised on-duty rota for busy periods to comply with the good practice recommendation made in the report though the perceived reduction in staff ratios had been caused by the supernumerary member of staff being occupied by the inspection itself.

Noted [v]: The congratulations of the Committee for the very good reports received and the expressed pleasure at the very committed staff and high standards of care available in the nurseries.

AC09/10: 050

INTERNAL AUDIT REPORTS

Noted [i]: The attendance of D Williams, Senior Manager, RSM Tenon, internal auditors.

Noted [ii]: The six reports were presented by D Williams and K Holley, Vice Principal: Finance & Information Systems.

CATERING:

- W Huxford, Refectories Senior Officer, was present for the presentation of the internal audit report so that any questions arising may be answered.

GOVERNANCE:

- The report recommendations highlight the need for a more robust tracking system for policies and the Committee take substantial assurance that the Policy Group are on course to deal with this.
- The Committee view that members of staff have a responsibility to make themselves aware of the policies of the College.

AC09/10: 050

INTERNAL AUDIT REPORTS [Cont'd]

ACTION & TIMESCALE

HE DATA SYSTEMS & PROCESSING

- The response to the single significant recommendation has been delayed due to the staff responsible having been involved in benchmarking data.
- The Committee are content that the stated implementation dates for the satisfaction of recommendations are appropriate.

FOLLOW UP: ASSETS & INVENTORIES

- In response to the single significant recommendation, the Committee were informed that the Surplus of Equipment Disposal Request is on the intranet, lists of fixed assets will be distributed to budget holders/responsible officers and the consequences of non-compliance with procedure will be emphasised.
- Following the large fixed asset stock take last summer recess, a follow up stock take of all assets representing a value less than £500 will be undertaken in the summer of 2010 to enhance the clean fixed asset register produced last year.
- The issues, recommendations and actions planned will be reviewed and reported back upon as part of the Follow Up schedule next year (2010-2011).

FOLLOW UP: INTERNAL AUDIT REPORT MAY 2010

- The Follow Up has been undertaken on reports produced by the former Internal Auditors.
- The stated implementation dates for actions listed alongside significant recommendations were agreed by the Committee.
- The issues, recommendations and actions planned will be reviewed and reported back upon as part of the Follow Up schedule next year (2010-2011).

INTERNAL AUDIT PROGRESS REPORT

- The Internal Audit Reports on Sustainability and on Learner Services will be presented to the next meeting of the Audit Committee.

- The Client briefing at Appendix B of the report refers to both OFSTED and the Department for Children, Schools and Families (DCSF) neither of which have jurisdiction in Wales. D Williams is to check the relevance and give the Committee reassurance on the briefing.

<u>Resolved [i]:</u> That the Internal Audit Report – Catering is approved.	AUDIT CTTE 20.05.10
<u>Resolved [ii]:</u> That a report detailing the policy tracking system is brought to the Audit Committee meeting on 22.09.10.	POLICY GRP/CLERK 10.09.10
<u>Resolved [iii]:</u> That the Internal Audit Report – Governance is approved.	AUDIT CTTE 20.05.10
<u>Resolved [iv]:</u> That the Internal Audit Report – HE Data Systems & Processes is approved.	AUDIT CTTE 20.05.10
<u>Resolved [v]:</u> That the Internal Audit Report – Follow Up: Assets & Inventories is approved.	AUDIT CTTE 20.05.10
<u>Resolved [vi]:</u> That the Internal Audit Report – Follow Up: Internal Audit Report 06.09/10 is approved.	AUDIT CTTE 20.05.10
<u>Resolved [vii]:</u> That D Williams, Senior Manager, RSM Tenon, will clarify the relevance of the appended Client briefing within the Wales Governance Framework and report back to the Audit Committee providing reassurance.	D WILLIAMS 10.09.10
<u>Resolved [viii]:</u> That the Internal Audit Progress Report is approved.	AUDIT CTTE 20.05.10

SIGNED BY COMMITTEE CHAIRPERSON

Signature:.....

Date:.....