



MINUTES OF THE AUDIT COMMITTEE OF THE CORPORATION OF BLACKPOOL SIXTH FORM COLLEGE

Date: Tuesday 5th March 2013

Venue: Sixth Form College

Room: Committee room

Time: 1730hrs

Present: Mr G Curry (Chair)
Cllr D Clapham
Mr Steve Sheard
Ms J Trembles

Together with: Mr P Farrington (Audit Manager Mazars)
Mr D Fletcher (Audit Manager RSM Tenon)
Mrs A Pickup (Director of Finance & Personnel)
Ms F Greeves (Principal)
Mr J Boyle (Observer)
Mr G Saffery (Risk Management Champion)
Mrs J A Trainor (Assistant to the Clerk of the Corporation)

		Action
01.2013	Apologies for Absence Apologies were received from Mr J Corry (Vice Chair), Mr G Hitchmough (Mazars) and Dr J Burgess	
02.2013	Declaration of Interest None.	
03.2013	Consideration of any items of urgent business None.	
04.2013	Minutes of the meeting held on 20th November 2012 (Paper A) 04.2013 D1 Resolved: that the Minutes be approved.	
05.2013	Matters arising from the Minutes not covered elsewhere on the agenda 05.2013 The Deputy Principal had confirmed that all six low risk recommendations as detailed within the report had been dealt with as per recommendations made.	

06.2013

Risk Management

(Paper B)

Risk Management Report:

The Risk Management Champion (GS) outlined the key changes to the Risk Register and gave thanks to all that had contributed to its completion. Governors noted that there were no actions to take forward from November 2012. There were 4 new actions added to the Risk Register (as detailed within the report). Governors noted that the calculation against 8.20 was incorrect; GS to amend. Governors noted that significant risks had dropped by two as compared to November last year, with contingent risks risen by 2, however overall the pattern was fairly consistent with November. Governors noted the summary of key risks (as detailed within the report).

Bribery Act The Director of Finance and Personnel and the Risk Management Champion (GS) reported that following assessment they were completely satisfied that the Head of Technical Support was risk aware and acting appropriately with regards to the risk. Further assessments of SMT and Governors/Academic heads would be completed by June/November respectively.

Trips and Visits Policy and Procedures Governors noted the amendment to the Policy as detailed within the report and that the trips/visits system is now fully electronic and has been well received by staff, saving much administrative time, streamlining the procedure and making it easier to find information required. Staff had received training over the summer period and can access the e-form from within First Class. GS confirmed that all forms submitted are risk assessed by him prior to submission to the Deputy Principal for final authorisation; the trip/visit organiser receives email confirmation that the trip/visit can take place. GS confirmed that external risk assessments from organisations of their facilities are used by the College, but are worked through between GS and the establishment to ensure that they are applicable to our students.

Risk Register:

Mr S Sheard queried whether the college assesses across risk, for risk comparison. GS agreed that this would be a worthwhile addition to the process and would be included in future. Governors agreed that i) the responsibility for 8.1.8 should now lie with the Principal ii) that the level of its risk should be increased, as well as the risk levels for 2.1 and 2.5 iii) the impact of 8.9 should be rechecked iv) the responsibility for 1.7 should now lie with the Chair (5.2.6 was noticed as a possible replication of this risk).

Governors agreed a new risk should be included i.e. failure to recognise and adapt quickly to all government led policy changes; FG to discuss this with GS outside of the meeting. GS to amend all typos identified.

Risk Management Plan:

GS to amend Risks 17 and 18 on the Risk Management Plan to fall under the Director of Finance's responsibility and amend typos identified within the Plan.

06.2013 D1 Resolved: that the Spring 2013 Risk Management Report, Risk Register and Action plan be received following amendments identified and for them to be recommended to the Corporation in June 2013.

Action

Risk Management champion
To action

Risk Management champion
To action

Risk Management champion
To action

Risk Management champion
To action

Clerk
To action

		Action
07.2013	<p>Internal Audit Report No 1 2012 – 2013 (Papers C1, C2, C3)</p> <p>Paper C1 Internal Audit Progress Reports and client briefings</p> <p>Governors noted the progress update and results on work carried out to date by Tenon since the approval of the internal audit plan for 2012/13 in June.</p> <p>Mr Fletcher advised that Governors should particularly note the information relating to Real Time Information within the Client Briefing section of the Internal Audit Progress Report and its impact on PAYE (i.e. earlier reporting of PAYE Information to HMRC). The Director of Finance to check with the College's payroll department that information held on College databases is also held with HMRC.</p> <p>Mr Fletcher confirmed with Governors that the freedoms and flexibilities afforded to Sixth Form Colleges have now been granted to all FE Colleges in the sector. The Clerk to advise Governors, when known, when the consultation Joint Audit Code draft is available (due before the next Audit Committee meeting in June).</p> <p>Paper C2 Cintra Human Resources System</p> <p>Governors noted that the overall opinion of the report was Green with no recommendations as part of the audit. Mr Fletcher advised that spot checks had been carried out to ensure the smooth transfer to the new system. The opinion of the auditors was that the transfer had proved very successful.</p> <p>Paper C3 Student Records/Bursaries</p> <p>Governors noted that the overall opinion of the report was Green with no recommendations as part of the audit. Mr Fletcher advised of the checks that had been carried out and auditors agreed that a very strong control mechanism was in place. The Principal confirmed to Governors that a sound system is in place to hear student appeals relating to bursaries. The Director of Finance confirmed that students are requested to supply certain documentation to college when applying for bursaries. Internal checks are carried out relating to the documentation supplied.</p> <p>Governors asked that thanks be passed to the Finance Team and Student Services for their help with regard to papers C2 and C3 above.</p> <p>07.2013 D1 Resolved: that, the Internal Audit Reports detailed above be received.</p>	<p>Director of Finance To action</p> <p>Clerk To action</p>
08.2013	<p>Breach of Data Protection (Papers D1 and D2)</p> <p>Letter from the Information Commissioner's Office Mr J Boyle advised the Chair the reasoning behind why the breach had been reported to and dealt with by the Admin and Finance Committee rather than the Audit Committee, but noted his concerns. Governors noted that no further regulatory action would be taken in respect of this breach, but noted that should a similar incident occur in the future, this case would be taken into consideration when deciding whether formal action is appropriate.</p>	

		Action
	<p>Updated and revised Bulk Communication Policy Governors noted the new procedure and the improved quality control of data checking by senior management prior to data being sent out externally. Governors suggested that staff without the job role of sending bulk emails could be denied this access to reduce the risk of accidentally using the feature. Governors requested that the term “bulk” be defined within the document and that an addition be made to the purpose of the policy i.e. “to produce an efficient and secure communication policy”. Governors suggested to College that a different email address could be used for parents re subscribing/unsubscribing to receiving emails, instead of the standard “enquiries” email address.</p>	
	<p>08.2013 D1 Resolved: that, the Breach of Data Protection and Updated and revised Bulk Communication Policy be received and the proposed amendments incorporated into the Policy.</p>	<p>Clerk To action</p>
<p>09.2013</p>	<p>Any other Business None.</p>	
<p>10.2013</p>	<p>Estimation of Risk No new risks were identified.</p>	
<p>11.2013</p>	<p>Date and Time of the next meeting 18th June 2013 at 5:30pm</p>	