

SOLIHULL COLLEGE AND UNIVERSITY CENTRE

**MINUTES OF THE MEETING OF THE AUDIT COMMITTEE MEETING HELD ON 27th FEBRUARY
2017 AT SOLIHULL COLLEGE, BLOSSOMFIELD CAMPUS**

PRESENT: Alex Palethorpe (Chair)
Lucy Lee
Keith Marriott
Geraldine Swanton
Tony Worth

IN ATTENDANCE: John Callaghan (Principal)
Lindsey Stewart (Deputy Principal)
Heather Evans (Vice Principal – Finance)
Sam Bromwich (Director of Risk, Control and Compliance)
Theresa Lynch (Clerk to the Corporation)

Louise Tweedie – RSM
Mark Dawson – KPMG

Confidential Items 11-14 were taken at the beginning of the meeting and the auditors were not present for the discussion.

1. Membership

1.1 Apologies for Absence

There were apologies for absence from Pete Haynes (Vice Principal – HR and Student Services).

1.2 Declarations of Interest

There were no new declarations of interest.

2. Minutes of the previous meetings and matters arising

The minutes of the meeting held on 28th November 2016 were agreed as a correct record and signed by the Chair.

3. Board Assurance Presentations

3.1 Area 7 Governance

The Clerk presented Area 7 of the Board Assurance Framework, Governance and confirmed that assurance was in place for the necessary condition relating to Commitment, Skills and Experience of Governors. She confirmed that independent assurance would be obtained for the full governance assurance framework during 2017. This work could be carried out by AOC or KPMG and details would be confirmed in due course. **ACTION.**

3.2 Area 8 Financial Health

The Vice Principal Finance presented Area 8 of the Board Assurance Framework, Financial Health and confirmed that assurance was in place for the necessary conditions relating to Financial Strategy, Budgeting and Forecasting and Value for Money and Cost Savings. It was noted that the robustness of the SFA's confirmation of financial health was not as strong as it had been in the past.

5.2 College Business Planning: Strategic, Curriculum and Financial (Phase 1)

The Internal Auditor presented the report and explained that the audit had been advisory and had reviewed the use of ProResource for 2016/17 curriculum planning process and had provided advisory guidance where areas for improvement were identified. She explained that five advisory recommendations had been made.

5.3 Governance – College Data and Performance Management

The Internal Auditor presented the report and confirmed that the Committee could take substantial assurance that the controls upon which the organisation relies to manage the identified risk are suitably designed, consistently applied and operating effectively.

5.4 Progress Report

The Internal Auditor presented the report and discussion took place regarding the briefing document that highlighted the areas of focus for high priority management actions across the sector during 2015/16. It was noted that this information was useful and reflected the importance of staffing and data in FE. It was also noted that 'Other' related to areas including health and safety and freedom of information.

5.5 Benchmarking Report

The Internal Auditor presented the report and confirmed that the College was in line with sector norms.

5.6 Future Planning – Internal Audit Opinion 2017/18

The Internal Auditor presented the report and explained that the learner number audit would focus on apprentices this year. There would be a 2-part audit with a walkthrough audit in July 2017 of a small sample of students. This would be a 4 day audit. It was noted that given the changes in the sector, apprentices were currently relatively high risk and therefore an early audit would provide assurance that processes and procedures were in place to respond to any issues arising from the changes. In 2017/18 a full audit relating to apprenticeships would be undertaken, once the new levy arrangements had been in place for a year.

The Internal Auditor explained that the focus for the additional support audit would be on SFA funded students to ensure that documentation and funding was both maximised and accurate.

It was noted that the days required for Phase 2 of the College Business Planning: Strategic, Curriculum and Financial audit would be reduced to 3-4 days and this would be a compliance audit.

The Internal Auditor confirmed that the changes in the number of days required for each audit would still allow for an annual audit opinion to be provided for 2016/17. She explained that the Internal Audit Plan for 2017/18 would be presented at the next meeting. **ACTION.**

6. Health and Safety Termly Report

The Vice Principal Finance presented the report and noted that there were no identified trends coming out of the accident statistics to date for 2016/17. She explained that there was currently one accident claim in progress. It was noted that training identified in the report was undertaken by full and part time establishment staff, but not always casual and sessional staff.

Discussion took place regarding the usefulness of having a hazard spotting process in place. It was noted that currently hazards would be communicated to the Facilities Helpdesk, but it may be useful to increase awareness of the need to address potential hazards when identified for all staff. It was noted that the union officials did undertake regular College tours to review health

13. Review of Performance of the External Auditors for 2016 Audit

This item was deemed confidential.

14. Additional Audit Work

This item was deemed confidential.

15. Management Report on the Implementation of Audit Recommendations

The contents of the Management Report on the Implementation of Audit Recommendations were noted for information and it was confirmed that dates for completion of actions would be updated.

16. Data Archiving and Retention Update Report

The contents of the Data Archiving and Retention Report were noted for information.

17. Date of the Next Meeting

The date of the next meeting was scheduled for Monday ^{12 June}~~27th February~~ 2017 at 6pm.

Signed

AU Palettridge

Date

12 June 2017.