

<b>AGREED MANAGEMENT ACTION PLAN</b>
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<b>Directorate:</b>	Customer and Communities
<b>Audit report:</b>	Adults & Community Learning 2013-14
<b>Dated:</b>	January 2014

**PRIORITY RATINGS**

**Priority High (H)** - major control weakness requiring immediate implementation of recommendation

**Priority Medium (M)** - existing procedures have a negative impact on internal control or the efficient use of resources

**Priority Low (L)** - recommendation represents good practice but its implementation is not fundamental to internal control

I agree to the actions below and accept overall accountability for their timely completion. I will inform Internal Audit if timescales are likely to be missed.

The auditor agrees that the actions set out below are satisfactory.

Lead Responsible Officer (HOS): Peter Milton

Auditor: Frank Mannion

Date: 28 January 2014

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Para Ref	Recommendation	Priority Rating	Management Action Proposed	Timescale for Action	Officer Responsible	Audit Agree?
5.16	<b>Learning Agreements</b> Community Learning and Skills management to review the present arrangements for the administration and retention including accessibility of all documents that make up the Learner Agreement as laid down in the Skills Funding Agency's Funding Rules.	M	Define what documents constitute a Learning Agreement.	Friday 31 January 2014	Emma Brummitt – Learning Services Manager	Y
			Document the 'as is' process from start (i.e. generation) to finish (i.e. filing and retention) for each element of the Learning Agreement.	Friday 28 February 2014	Emma Brummitt – Learning Services Manager	Y
			Review 'as is' process and develop 'to be' process.	Friday 14 March 2014	Emma Brummitt – Learning Services Manager	Y
			Implement 'to be' process.	Monday 28 April 2014	Emma Brummitt – Learning Services Manager	Y

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5.17	<p><b>Learning Agreements</b></p> <p>Community Learning and Skills management must ensure that they can demonstrate full compliance with the principles of the Data Protection Act, particularly regarding information held by tutors and up to date retention schedules. They should seek advice from the Corporate Information Governance Officer regarding the actions they need to complete. The council has a contract with Deep Store for off site storage. Management should consider the retrieval convenience and costs of using the facility against storage on their own sites.</p>	H	Retention Schedule to be reviewed following completion of 5.16 (see above).	Friday 14 March 2014	Emma Brummitt – Learning Services Manager	Y
			Review of current storage at each of the Adult Learning Centres and consider feasibility of Deep Store.	Friday 14 March 2014	Emma Brummitt – Learning Services Manager	Y
			Meeting to be arranged with Grisilda Ponniah, Corporate Information Governance Manager, to discuss how Tutor's can continue to have Learners email addresses (required to support learners, monitor attendance and provide feedback on a weekly basis) and comply with the Data Protection Act.	Friday 7 February 2014	Paul Hoffman – Principal	Y
			Meeting to be arranged with IMT to discuss possible technical solutions to Tutor's having email address of Learners.	Friday 7 February 2014	Clive Banks – Information Technology and Funding Manager	Y

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			Consult representative sample of Tutors and Curriculum Management Team on proposed technical solution.	Friday 21 March 2014	Anu Chanda – Deputy Principal	Y
			Implement technical solution.	Monday 28 April 2014 (Start of Summer term)	Anu Chanda – Deputy Principal	Y
5.31	<b>Learners' Eligibility to Receive Funding</b> Community and Learning Skill management to ensure there is a robust process, including monitoring of records, to ensure the council is compliant with the funding rules of the Skills Funding Agency.	H	Develop a process for 'dip sampling' of paperwork.	Friday 14 March 2014	Emma Brummitt – Learning Services Manager	Y
			Develop flowcharts for Skills Funding Agency (SFA) eligibility: 1. Adult Skills Budget (ASB) funded accredited courses. 2. Community Learning (CL) funded mainly non-accredited courses.	Friday 14 March 2014	Clive Banks – Information Technology and Funding Manager	Y

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5.32	<b>Learners' Eligibility to Receive Funding</b> Community Learning and Skills should undertake an equality impact assessment for any changes to the enrolment process if there is a risk to some of the potential learners not being able to access a revised enrolment process.	M	Consider whether an Equality Impact Assessment (EIA) is required for Online Enrolments.	Friday 28 February 2014	Paul Hoffman – Principal	Y
			If required, commission Policy and Performance Team to undertake an Equality Impact Assessment (EIA) of Online Enrolments.	Monday 31 March 2014	Paul Hoffman – Principal	Y
5.47	<b>Eligibility of Courses and Tutors</b> Community Learning and Skills management should ensure that there is a formal method of ensuring learners are notified of the charging policy associated with the courses provided.	M	Develop two Fees Policies.	Monday 31 March 2014	Emma Brummitt – Learning Services Manager	Y
			Publish two Fees Policies on external website: 1. Adult Skills Budget (ASB) funded accredited courses. 2. Community Learning (CL) funded mainly non-accredited courses.	Monday 31 March 2014	Emma Brummitt – Learning Services Manager	Y
			Ensure statement about Fees Policies is clear in Course Guide.	Monday 31 March 2014	Emma Brummitt – Learning Services Manager	Y
			Ensure statement about Fees Policies is clear in Learning Agreement.	Monday 31 March 2014	Clive Banks – Information Technology and Funding Manager	Y

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5.53	<p><b>Data Submissions to the SFA</b> Community Learning and Skills Management needs to ensure the submission process is sufficiently resilient to cover unplanned staff absences.</p>	H	<p>Development Plan to be implemented for Peter Wickenden, Information Systems Officer, so that he has sufficient knowledge and skill to be able to cover in the absence of Clive Banks, Information Technology and Funding Manager.</p>	Friday 28 February 2014	Clive Banks – Information Technology and Funding Manager	Y
			<p>Peter Wickenden, Information Systems Officer, to be able to act as Deputy for Clive Banks, Information Technology and Funding Manager, in his absence. In particular, complete an Individualised Learner Record (ILR) return and populate accurately the Ofsted's pre-inspection data sheets.</p>	Thursday 31 July 2014	Clive Banks – Information Technology and Funding Manager	Y

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5.60	<p><b>European Social Fund</b></p> <p>Community Learning and Skills management should continue dialogue with the SFA to clarify what is required under the Funding Rules and implement processes to comply as appropriate.</p>	M	Termly Meetings with Skills Funding Agency (SFA), where European Social Fund (ESF) is a standard agenda item.	Monday 31 March 2014	Paul Hoffman – Principal	Y