

**College: PLUMPTON COLLEGE**  
**Self Assessment Checklist**

<b>Schedule</b>	<b>03.03.00</b>	<b>1</b>
<b>Date:</b>		

Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
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<b>Regularity - LSC</b>								
<b>GENERAL ACTIVITIES</b>								
1	All activities (and transactions) within the power of the College	1	Principal powers contained within s18 F&HE Act 1992 and supplementary powers within s19	<ul style="list-style-type: none"> <li>▪ no review undertaken</li> <li>▪ extensive commercial activities</li> <li>▪ overall operating loss position</li> <li>▪ poor cost information</li> </ul>	<ul style="list-style-type: none"> <li>▪ Finance &amp; General Purposes Committee regularly reviews management accounts.</li> <li>▪ All the college's activities are related to teaching and learning.</li> <li>▪ Corporation reviews standing orders every two years.</li> <li>▪ Each Committee reviews their terms of reference annually.</li> </ul>	See financial statements		Comprehensive review by internal audit on cyclical basis.
2	College must have effective governance and management arrangements over its investments (subsidiaries, associates, JVs, trust and foundations)	2	Circular 99/14 and in the case of activities carried out through subsidiary companies, Circular 02/12	<ul style="list-style-type: none"> <li>▪ Informal relationships</li> <li>▪ lack of legal advice</li> <li>▪ lack of monitoring/ awareness at governing body level</li> <li>▪ lack of knowledge of legislative environment of body (e.g. Charities sector, CA requirements)</li> </ul>	The Plumpton College Charitable Foundation (incorporating OT Norris) is a small charitable trust set up to provide financial assistance to students in need. The charity's annual accounts are examined by an Independent Examiner, whose report is submitted to the Audit Committee. In May 2008 the name of the charity and was changed and the number of trustees increased (Charity Commission notified).	See charity's annual report and accounts		None

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
					College is guarantor of £1 to Woodland Enterprise Ltd – Principal is a Director.  College farm is an integral part of the College.				
3	College cannot acquire shares or securities in company to run the college through it or to provide education funded wholly or partly by LSC funds without prior consent	3	Circular 02/12 and L&S Act 2000	New companies, investments or change in trade of companies	No	N/A	N/A	N/A	
	<b>FINANCIAL MEMORANDUM</b>								
4	College has clear policy of payment to Governors and does not provide remuneration	4	Instrument & Articles and charity law requirements - CC11 (available from Charity Commission website)	No policy or tracking of such payments	<ul style="list-style-type: none"> <li>o Policy contained in standing orders (paragraph 29).</li> </ul> Few governors have claimed travelling expenses in past year (for attending Corporation and other meetings/relevant events). Payment was at 25p per mile.				

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<b>Schedule</b>	<b>03.03.00</b>	<b>3</b>
<b>Date:</b>		

	<b>Area</b>	<b>SAQ</b>	<b>Source ref</b>	<b>Inherent risks</b>	<b>College response</b>	<b>Value of income/ Expenditure £000's</b>	<b>Control Environment</b>	<b>Internal work carried out in this area</b>	<b>Audit approach</b>
5	Compliance with consent requirements over secured and unsecured borrowing limits and leasing of freehold and leasehold land and buildings	5	Section 19(4)(c) and 19(5) F&HE Act 1992, Paragraphs 27 to 30 of Circular 99/48 Financial Memorandum and paragraphs 8-11 of explanatory notes appended to Circular 99/48		Borrowing towards West Wing and Workshop building developments, LSC approval obtained.			N/A	
6	Requirement for the Corporation to be regularly informed of financial position	6	Paragraph 10 of Circular 99/48 Financial Memorandum	N/A	Finance report submitted to every Corporation meeting by Director of Finance.				

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7	Obtain LSC consent for land and building transactions where total cost exceeds £1.5m or 5% of annual revenue, whichever is the lower.	7	Specific power to acquire and dispose of property contained in s19 (4)(a) F&HE Act 1992, consent requirements contained in paragraph 24 99/48 Financial Memorandum and paragraphs 12 and 13 of the explanatory notes to the Financial Memorandum (Circular 99/48)	Sudden decision to sell/purchase/build land and buildings	LSC authority obtained to West Wing and Workshop building developments (LSC capital grant provided). Third phase of development detailed in bid to LSC March 2009, but was ultimately unsuccessful.			No	
8	Operating within Investment Powers	8	Specific power of investment contained in s19 (4)(d) F&HE Act 1992, must be exercised in accordance with the Trustee Act 2000)	Unclear Treasury Management policy, existence of higher risk investments (e.g. derivatives etc).	Treasury management policy approved by F&GP Committee 12/7/05 (amended 14/11/06).				

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
9	Restrictions on redundancy/severance payments to staff	9	Paragraphs 1-7 of Explanatory notes to Financial Memorandum. For staff eligible to join TPS or LGPS - Teachers Pension Scheme Regulations 1997, Teachers (Compensation for Redundancy and Premature Retirement) Regulations 1997 and Local Government equivalent	<ul style="list-style-type: none"> <li>No legal advice taken</li> <li>payments rushed through at year end</li> <li>inadequate approval process for policy</li> <li>inadequate approval of individual cases</li> </ul>	One individual notified at risk of redundancy.	£nil	N/A	N/A	
10	Consent to retain/repay exchequer funding attached to disposed assets	10	Financial Memorandum paragraph 24 (Circular 99/48)	Sudden disposal, inadequate tracking of assets which have been exchequer funded within the fixed asset register	No disposals made or planned. All assets tracked in the fixed asset register on the system with separate asset groups when grant funded.	£nil	N/A	N/A	
11	Monitoring subsequent investment of sales proceeds in accordance with agreement with LSC	11	Financial Memorandum paragraph 24 (Circular 99/48)	No clear plan of how unspent proceeds are being/have been applied.	No disposal investment made or planned.	£nil	N/A	N/A	

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
12	Notify LSC of any significant deterioration in financial position	12	Financial memorandum paragraph 33 and paragraph 17 of appendix (Circular 99/48)	<ul style="list-style-type: none"> <li>Management accounts/financial forecasts highlight deterioration in financial position which could result in the College becoming reliant on LSC or other third party support to continue trading.</li> <li>Untimely management information.</li> <li>History of poor forecasting.</li> </ul>	<ul style="list-style-type: none"> <li>We do not foresee this situation arising. LSC is aware of likely lowering of financial grading due to capital borrowings.</li> <li>Monthly cash flow forecast is considered by the F&amp;GP committee at each of its meetings. The cash flow forecast goes beyond the 12 months recommended by the LSC.</li> </ul>	£nil	N/A	N/A	
13	College or auditors should report significant cases of fraud or irregularity to the LSC (serious weaknesses, significant frauds, major accounting or other breakdowns Frauds over £10k, where complex, public interest)	13	Financial Memorandum paragraph 41 (Circular 99/48), Audit Code of Practice paragraphs 97-101	<ul style="list-style-type: none"> <li>New management,</li> <li>poor control environment</li> <li>dispersed operations</li> <li>poor segregation of duties in key areas</li> <li>extravagant lifestyles etc</li> </ul>	<ul style="list-style-type: none"> <li>Fraud policy approved by Corporation Dec 02 (amended by Audit Committee 11/9/07).</li> <li>Risk of fraud considered as part of risk management plan.</li> <li>Internal audit reports cover possible risk areas.</li> </ul>	£nil		None	

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				<ul style="list-style-type: none"> <li>No incidents of fraud (actual or potential) have been identified.</li> <li>Segregation of duties has been investigated and put in place where appropriate</li> </ul>				
14 Appointing, grading, suspending, dismissing and determining pay of Principal and Senior Post holders (incl severance payments and any changes to contractual terms)	14	Financial Memorandum paragraph 10 (Circular 99/48) and paragraphs 1-7 of Appendix, Circular 03/08, PAC report (Swansea Institute) re inappropriate contractual terms (pension rights, notice periods)	<ul style="list-style-type: none"> <li>Poor governor monitoring/approval over senior staff employment and severance arrangements.</li> <li>Large severance payments made where the College has severe financial difficulties.</li> <li>Changes to senior post holder contracts of employment shortly before staff restructuring.</li> </ul>	<ul style="list-style-type: none"> <li>Corporation has identified the Principal to Corporation as the only senior post-holder and is appraised annually by Chairman.</li> <li>Remuneration Committee advises Corporation on SPHs' salary, terms and conditions.</li> <li>Remuneration Committee met in 2008/09 and recommendations regarding remuneration approved by Corporation 14/7/09.</li> <li>Remuneration Committee's terms of reference include criteria for consideration of remuneration.</li> <li>Special Committee</li> </ul>				

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
					<p>advises the Corporation on dismissal of SPHs.</p> <ul style="list-style-type: none"> <li>There has been one change in senior post holders during the year. The post of Clerk was altered from a senior to a non-senior post holder position.</li> </ul>				

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
15	College not to give any guarantees, letters of comfort or indemnities incurring contingent liabilities other than in the normal course of commercial business dealings	15	Financial Memorandum paragraph 39 (Circular 99/48)		No guarantees given.	£nil	N/A	N/A	
16	Complying with any specific requirements laid down by the LSC in part B of the financial memorandum	16	Part B of financial memorandum (annual funding agreement)	N/A	There are no specific restrictions over the college's activities.	£nil	N/A	N/A	
17	Using funds to political/campaigning purposes not permitted by charity law.	17	Charity law requirements - common law and CC9 (Charity Commission 2004)	Unauthorised political/charitable donations	No political donations have been made.		N/A	No	

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<b>Schedule</b>	<b>03.03.00</b> 10
<b>Date:</b>	

	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
18	Restrictions on Governors holding interests in matters relating to the college and college must maintain a register of Governors' interests.	17	Instrument & Articles and charity law requirements - (common law but NB draft Charities Bill) - CC11 (CC37 also gives advice to Trustees who wish to enter into contracts to supply good and services to public bodies)	<ul style="list-style-type: none"> <li>• Infrequent updating of register.</li> <li>• No formal assessment of the context in which governor disclosures are made (e.g. cross checking to supplier activity).</li> </ul>	<ul style="list-style-type: none"> <li>• All new governors are required to complete a register of interests form.</li> <li>• Register form advises governors to notify the Clerk of any subsequent changes in their circumstances.</li> <li>• Form asks governors to include relevant interests of close family.</li> <li>• Clerk sends copy of register entry to every governor annually for updating.</li> <li>• Register of interests is reviewed annually and circulated to the Corporation.</li> <li>• All agendas remind governors to declare possible conflicts of interests.</li> </ul>	No specific value	<ul style="list-style-type: none"> <li>• clear guidance and returns process for governors covering all potential relationships (close family and so on)</li> <li>• regular updating of register</li> <li>• formal checking of scale of potentially conflicting activity in the context of college activities</li> </ul>	No	
19	Restrictions over types of fund raising activities charities can undertake.		Charity law requirements	N/A	Charitable donations obtained towards Living Classroom at Ivyland	Living classroom total donations £35k		No	
	<b>LSC (OTHER FUNDING)</b>								

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20	Adult Bursary Pilots - Bursaries to over 19's on means tested basis.			Significant growth in funding	N/A	£nil	N/A	N/A	

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
21	Compliance with terms and condition of discrete revenue funding: LSC Learner Support funding	18	<i>Funding Guidance for Further Education in 2004/05</i>	<ul style="list-style-type: none"> <li>• Significant growth in funding in the year.</li> <li>• Change in personnel administering funding.</li> <li>• Unclear policy.</li> <li>• No formal tracking or authorisation of expenditure.</li> <li>• Large amounts of funding allocated to 'general' college expenditure on transport etc.</li> </ul>	<ul style="list-style-type: none"> <li>• No change in personnel.</li> <li>• College has LSF policy and procedures.</li> <li>• Regular reconciliation</li> <li>• May be allocation at year end if funds available to reduce the College subsidy.</li> </ul>	See financial statements		None	

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
22	Compliance with terms and condition of discrete revenue funding: LSC FE Childcare Places	19	Circular 01/12 Reference to be updated when current guidance obtained	<ul style="list-style-type: none"> <li>Poor project management,</li> <li>inadequate monitoring of spend.</li> <li>Issues identified by LSC in their monitoring</li> </ul>	Learner support fund only.	£nil	N/A	N/A	
23	Compliance with terms and conditions of LSC discrete capital grant funding (FE Capital Buildings (incl Disability Access), ILT funding)	20	Circular 03/05	<ul style="list-style-type: none"> <li>Large capital developments</li> <li>Inexperience of dealing with grant funding bodies</li> <li>complex terms of funding</li> <li>history of disputes with funding bodies</li> <li>history of clawback of funding.</li> </ul>	Capital project ongoing.	See financial statements	Regular monitoring of capital project	N/A	

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
24	Compliance with terms and conditions of discrete grant funding - COVE (Capital and revenue)	21	Circular 03/05	<ul style="list-style-type: none"> <li>• Large capital developments</li> <li>• Inexperience of dealing with grant funding bodies</li> <li>• complex terms of funding</li> <li>• history of disputes with funding bodies</li> <li>• history of clawback of funding, late returns</li> </ul>	COVE funding has no ended.				

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	<b>Area</b>	<b>SAQ</b>	<b>Source ref</b>	<b>Inherent risks</b>	<b>College response</b>	<b>Value of income/ Expenditure £000's</b>	<b>Control Environment</b>	<b>Internal work carried out in this area</b>	<b>Audit approach</b>
25	Compliance with terms and conditions of other discrete revenue LSC funding where the LSC does not perform its own detailed audits (e.g. Increasing Flexibility for 14-16 year olds, LID funding (Transforming local delivery, Better teaching and learning, Golden hellos etc)).  The main recurrent grant from the LSC is also excluded as there are no specific terms and conditions relating to it.	22	Circular 03/05	Many funding streams, lack of guidance re use	Detail of additional LSC funding available, but now very small.				

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
	<b>NON-LSC FUNDING</b>								
26	Compliance with terms and condition of discrete revenue funding: HEFCE teaching funding	23		Data issues identified, general concerns raised by the HEFCE	N/A Higher education funding is not direct from HEFCE but from UoB as a partner College.				
27	Compliance with terms and condition of discrete revenue funding: ESF (traditional)	24		Rapid growth, lack of experience in dealing with ESF, change in personnel, involvement of multi-partners, poor costing environment, concerns raised by internal audit, external audit or Government Office	N/A				

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
28	Compliance with terms and condition of discrete revenue funding: other grants (e.g. RDA) - activity being funded within general teaching activity and no funder requirement to track expenditure separately (i.e. output driven)	25	N/A	<ul style="list-style-type: none"> <li>• Inexperience of dealing with particular funding source,</li> <li>• significant growth in activity,</li> <li>• change in staff administering project,</li> <li>• concerns expressed through internal audit or review by funding body</li> </ul>	N/A				
29	Compliance with terms and condition of discrete revenue funding: other grants (e.g. RDA) - expenditure separately tracked and outputs monitored	26	N/A	<ul style="list-style-type: none"> <li>• Inexperience of dealing with particular funding source,</li> <li>• significant growth in activity,</li> <li>• change in staff administering project,</li> <li>• concerns expressed through internal audit or review by funding body</li> </ul>	Leader+ project at Netherfield. Financial regulations/procedures document procurement procedures.				

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
30	Compliance with terms and conditions of discrete non-LSC capital grant funding	27	N/A	<ul style="list-style-type: none"> <li>• Large capital developments,</li> <li>• Inexperience of dealing with grant funding bodies</li> <li>• complex terms of funding</li> <li>• history of disputes with funding bodies</li> <li>• history of clawback of funding.</li> </ul>	<p>AIF bid.</p> <p>Charitable donations received towards Living Classroom at Ivyland</p>				
31	Complying with terms of conditions of specific donations/trusts etc	28	Relevant Trust terms		<p>Plumpton College Charitable Foundation, incorporating OT Norris (see response to Q2). Christopher Stere Memorial Fund.</p>				
	<b>PROPRIETY</b>								
32	Clear protocols to mitigate against corruption (in addition to register of interests) e.g. policies on acceptance of gifts/hospitality	29	Public Audit Forum guidance	<ul style="list-style-type: none"> <li>• Poor segregation,</li> <li>• poor procurement controls,</li> <li>• no clear policy/register of gifts etc,</li> <li>• extravagant lifestyles etc</li> </ul>	<ul style="list-style-type: none"> <li>▪ Staff code of conduct includes policy on acceptance of gifts and hospitality and requirements re conflicts of interest.</li> <li>▪ Staff with budgetary responsibility are required to complete a register of interests.</li> <li>▪ Financial</li> </ul>			No	

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					regulations/procedures document procurement procedures. <ul style="list-style-type: none"> <li>▪ Fraud policy.</li> </ul>				
33	Conflicts of interest and related parties - clear framework and monitoring of such transactions - must extend to all staff in significant procurement position (e.g. liaison with partners/franchise/project heads).	30	Various PAC reports/(1994;1999;2000)Circular 03/08	<ul style="list-style-type: none"> <li>• Infrequent updating of register.</li> <li>• No formal assessment of the context in which staff disclosures are made (e.g. cross checking to supplier activity).</li> </ul>	<ul style="list-style-type: none"> <li>• Staff with budgetary responsibility are required to complete a register of interests.</li> <li>• Register is available for inspection by members of the public.</li> <li>• Staff are reminded annually to update.</li> </ul>			No	

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34	Dealing with staff concerns openly. Clear whistle blowing procedures.	31	PAC (1998;1999;2000) reports Circular 00/25	N/A	<ul style="list-style-type: none"> <li>Whistleblowing procedure adopted by Corporation July 1998.</li> <li>Procedure includes provision for concerns to be raised confidentially outside of college.</li> <li>No allegations received to date.</li> </ul>			No	
35	Safeguarding assets from theft etc	32		<ul style="list-style-type: none"> <li>Lack of inventory,</li> <li>as physical verification or checking of assets</li> </ul>	<ul style="list-style-type: none"> <li>Whistleblowing procedure adopted by Corporation July 1998.</li> <li>Procedure includes provision for concerns to be raised confidentially outside of college.</li> <li>Fraud policy.</li> <li>Disciplinary procedure would be used should any allegations of theft by staff arise.</li> <li>Deeds, cash and cheque books kept in fireproof safes in locked offices.</li> <li>Each head of department is required</li> </ul>			No	

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				to produce an annual inventory of items of value over £500. <ul style="list-style-type: none"> <li>• Areas deemed to be at risk are protected by intruder alarms and smoke alarms.</li> <li>• CCTV cameras installed in main building and workshop areas.</li> <li>• No significant incidences of fire or theft occurred during 2008/09.</li> <li>• Internal Audit review processes from time to time.</li> <li>• Insurance cover reviewed annually.</li> <li>• Insurance cover market tested every 3 years.</li> </ul>				

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36	Clear policy and monitoring of overseas travel expenses.	33	PAC (1999) report on Halton college Circular 03/08	<ul style="list-style-type: none"> <li>• Large number of overseas trips,</li> <li>• no clear framework for overseas travel.</li> </ul>	<ul style="list-style-type: none"> <li>• Few foreign trips occur.</li> <li>• Prof forma used for all student trips includes financial implications.</li> </ul>			No	
37	Clear protocols to mitigate against inappropriate disposal of assets (property and other).	34	PAC guidance	<ul style="list-style-type: none"> <li>• Poor controls over disposal of assets,</li> <li>• poor controls over assets (such as no physical verification of assets).</li> </ul>	<ul style="list-style-type: none"> <li>• Asset disposal arrangements are contained in financial procedures.</li> <li>• Various items of equipment were disposed of in accordance with the college's asset disposal policy.</li> </ul>			No	
38	Controls and monitoring over expense claims (particularly SMT) and use of College credit cards.	35	PAC (1999) report on Halton college Circular 03/08	<ul style="list-style-type: none"> <li>• Lack of policy and procedures,</li> <li>• high level of individual expense claims.</li> </ul>	<ul style="list-style-type: none"> <li>• Expenses policy and procedures contained in financial procedures, which are reviewed regularly.</li> <li>• SMT claim forms are approved by the Principal. The Principal's claims are approved by another member of SMT.</li> <li>• Only SMT members have authority to make purchases using College credit card.</li> </ul>			No	

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	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
					Payment for these require two signatures.				
39	Lack of project appraisal and monitoring/or lack of control over discrete projects/initiatives including non-core activities)	36	PAC reports (Gwent, Halton, Swansea Institute, Southampton Institute etc)	<ul style="list-style-type: none"> <li>• Loss making non-core activities,</li> <li>• issue arising unexpectedly on specific projects/grant funding streams,</li> <li>• concern from funders</li> </ul>	<ul style="list-style-type: none"> <li>• Governors' Building Projects Sub Committee monitors major building projects from inception to post-completion and reports to F&amp;GP Committee. This covers risk and financial assessment.</li> <li>• The Building Projects Sub Committee requires every major building project to have a written business case appraising and justifying the investment.</li> <li>• Requirements are detailed in a major capital projects manual.</li> <li>• Requirements are also included in financial regs.</li> </ul>			No	
40	Reasonableness of procurement policies (e.g. limits for purchase of individual purchase without recourse to governors etc)	37	PAC (Halton)	N/A	<ul style="list-style-type: none"> <li>• Governors' Building Projects Sub Committee monitors major building projects from inception to post-completion and reports to F&amp;GP Committee.</li> </ul>			Yes	

**College: PLUMPTON COLLEGE**  
**Self Assessment Checklist**

<b>Schedule</b>	<b>03.03.00 24</b>
<b>Date:</b>	

Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
				<p>This covers risk and financial assessment.</p> <ul style="list-style-type: none"> <li>Requirements are detailed in a major capital projects manual.</li> <li>Requirements are also included in financial regs.</li> </ul>				
41 Unnecessary extravagance in purchases (e.g. refurbishments, equipment etc)	37	PAC (Halton)	N/A	<p>Financial procedures specify that:</p> <ul style="list-style-type: none"> <li>three written quotations are required for order over £5k, except for capital works where two members of SMT may approve acceptance of a single quote up to £25k;</li> <li>formal tenders are required for procurement of goods and services in excess of £50k;</li> <li>Procurement policy is reviewed regularly by F&amp;GP Committee.</li> <li>Building Projects Sub-Committee appraises all major capital expenditure and F&amp;GP Committee gives delegated authority to the Building Projects</li> </ul>		Clear procedures	Yes	

**College: PLUMPTON COLLEGE**  
**Self Assessment Checklist**

<b>Schedule</b>	<b>03.03.00 25</b>
<b>Date:</b>	

	Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
					Sub Committee to approve projects from time to time.				
42	Independence of the Clerk	38	Circular 99/48 paras 10, 16	N/A	<p>Clerk's job description (approved by Corporation March 2002 and reviewed and updated in 2008) specifies that the Clerk:</p> <ul style="list-style-type: none"> <li>• may take appropriate action if Corporation, Chairman or Committees appear at risk of acting outside their powers or proposing actions which may be unlawful</li> <li>• gives independent advice to the Corporation</li> <li>• is directly responsible to Chairman</li> <li>• Corporation approved a procedure for resolving difficulties 27/3/07 (in line with Financial Memorandum requirements).</li> </ul>	N/A		No	
43	On-going review of Corporation decision-making processes	39	PAC (Halton)	N/A	<ul style="list-style-type: none"> <li>• Corporation formally reviews standing orders every year (normally September meeting).</li> <li>• All committees</li> </ul>	N/A		No	

**College: PLUMPTON COLLEGE**  
**Self Assessment Checklist**

<b>Schedule</b>	<b>03.03.00 26</b>
<b>Date:</b>	

Area	SAQ	Source ref	Inherent risks	College response	Value of income/ Expenditure £000's	Control Environment	Internal work carried out in this area	Audit approach
				undertake a self assessment annually to ensure they are meeting terms of reference. <ul style="list-style-type: none"> <li>• Code of conduct and financial regulations reviewed from time to time, normally when updates are required.</li> <li>• Schedule of business reviewed by Clerk, SMT and chairman annually and by Committee chairs termly.</li> </ul>				

I confirm that the answers included in this self-assessment are correct to the best of my knowledge and belief.

Signed.....Principal

Date.....