

DELOITTES

	Recommendation	Comment	Proposed Action	Timescale	Responsibility
1,	Ensure that minutes are detailed enough to reflect discussions that have occurred at committee meetings.	Agreed	Further detail to be included	Immediate	Univ Sec

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2.	Clarify and ensure that there is a common definition of funding completion which is understood by the Executive Group, Senior Management and Senior members.	Agreed	Already actioned through the HESA/HESES submission project	Immediate	DVC (R and D)

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3.	Establish proper mechanism in place to ensure there is a proper flow of information from the Executive Group to the Governors.	Agreed	See 11 and 14 of Melville response.	As per 11 and 14 in Melville	As per 11 and 14 of Melville response

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4.	Establish whether the devices used by the University to maximise revenue on the HESA/HESES return are appropriate and in line with the HEFCE guidance.	Agreed	University is already in regular contact with HEFCE over any and all issues of interpretation of rules.	Immediate and on going	DVC (R and D)

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5.	Develop and update regularly an operational risk register to capture risks that are not on the strategic risk register.	See 3, 4 and 5 of Melville response	See 3, 4 and 5 of Melville response	See 3, 4 and 5 of Melville response	See 3, 4 an 5 of Melville response

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6.	Establish a formal organisation/reporting structure for the returns compilation process and ensure that each staff member within the structure is fully aware of their job responsibilities.	Formal Structure and allocation of responsibilities now in place through HESA/HESES project.	Project Board has actioned	Immediate	DVC (R and D)

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7.	Promote the whistle blowing process the University staff members to ensure that staff members are comfortable in accessing the process.	Procedure has been in place since 2003 and is prominent on web site. Internal Audit confirmed best practice in earlier report.	Further review of procedure and wider publicity	Jan 2010	VC/Univ Sec

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8	Implement a process whereby a periodic independent review is performed on the return compilation process and the data quality.	Agreed	Deloittes engaged for 2009 returns to assist. Further work to be commissioned for 2010 returns	Immediate	DVC (R and D)

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9.	Establish formal documented processes for the record to report cycle including maintenance of course master data and compilation of the return.	Agreed. Compilation and submission procedures for HESA and HESES returns were documented and formally signed off as part of the Project discipline and approach for the 2009 returns	These project documents will be extended for 2010 to include validation cycles for the data from the beginning of the Academic year. A number of projects to improve data capture (including course data) are being developed and are due to commence in January 2010	Immediate	DVC (R and D)

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10.	Establish application embedded controls to validate the student data entered to the SITS system.	Agreed. Non-embedded validation routines now exist and are being enhanced (see response 11)	A project is being established to undertake a comprehensive review of the SITS system. This will cover the incorporation of embedded validation controls.	Immediate commencement with completion by July 2010	DVC (R and D)

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11.	Perform periodic data validation checks followed by timely rectification of data quality issues.	Validation routines commissioned from the Tribal Group (owners of the SITS software) have been operational since June 2009	<p>These routines will be enhanced for the current 09/10 year. In addition further validation routines are being developed with the objective being a full suite of routines available to enable different levels of quality checking. This will allow HESA level checks in-house throughout the year.</p> <p>A formal process for logging errors and their rectification is also being put in place</p>	Immediate start. Completion by July 2010	DVC (R and D)

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12.	Establish a centralised approach to module selection across the University and reduce instances of incorrect module selection by students.	Noted	Requires change to established practices across departments	Commencement of 2010 academic year	DVC (A)

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13.	Establish a formal process to monitor the compliance with the attendance monitoring process and ensure that it is operating effectively throughout the academic year.	Now in place	Enforcement now required	Immediate	DVCs

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14.	Establish formal procedures to manage change management risks around the data manipulation programs and field structures used within/with the SITS system to prepare the returns.	Agreed. For the 2009 returns, data manipulation has been determined by specification from the Project Lead officers and quality controlled by Project team members.	These controls will be strengthened and formalised for next year	Immediate	DVC (R and D)

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15.	Establish a formal process to monitor the compliance with HEFCE funding rules.	Agreed	Through the HESA/HESES Project Board. Regular reports to the VC and the Audit Committee	Immediate	DVC (R and D)

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16.	Establish appropriate management information which will inform executive oversight on the returns.	Agreed	As per 15		

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17.	Implement a formal process to manage the review and rectification of data errors reported by the HESA data validation kit.	As per 11, 15 and 16			

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18.	Implement validation checks in the SITS system which can be performed on a periodic basis.	As per 11	As per 11		

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19.	Implement a formal change management procedure for the SITS system.	Agreed	As per 11. The comprehensive review of the SITS system will include a formal change management procedure.	As per 11	

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20.	Automate programs used to cleanse data within the SITS system is independently reviewed to confirm the accuracy of its functionality.	Agreed	As per 11. The review will include required controls on automated programmes	As per 11	DVC (R and D)

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21.	Ensure that the SITS system functionality in place to extract the initial HESA data is in line with the University's expectations.	As per 14	<p>As per 14. Controls will be strengthened for 2010 returns.</p> <p>As per 11, the review will seek to reduce reliance on intervention and provide functionality to produce returns in line with the correct interpretation of the funding regulations</p>	As per 11 and 14	DVC (R and D)

General/deloittes