



**Minutes of the Audit and Risk Committee meeting held on
Monday 5 July 2021 at 12:30pm using a blended approach with some Governors
at the St Austell campus and others joining via Microsoft Teams**

Committee members present

Patrick Newberry	PN	Committee Chair
Tracey Hooper	TH	Governor
Jonathan Mashen	JM	Co-opted Committee member
Anne Thomas	AT	Governor
Jane Warren	JW	Governor

In Attendance

Ross Cooper	RC	Health, Safety and Environment Manager
Adrian Ford	AF	Vice Principal Group Operations (VP GO)
Bob Harris	BH	Head of Estates
Graeme Sinclair	GS	Director of Finance
Wendy Randle	WR	Director of Governance
Louise Tweedie	LT	RSM (Internal Auditors)
Craig Sullivan	CS	Bishop Fleming (External Auditors)

		Action
1	<p>WELCOME, APOLOGIES AND DECLARATION OF INTERESTS</p> <ul style="list-style-type: none"> ▪ Apologies were received and accepted from Geoff Warring and Leon Sargent; the meeting was quorate. ▪ There were no further interests declared than those already contained on the members' register. <p>It was noted that the agenda would be taken in a different order and that this second Committee meeting had been scheduled due to the volume of business.</p>	
5 5.1	<p>HEALTH AND SAFETY (H&S)</p> <p>Health and Safety Staff survey outcomes</p> <p>The new Health, Safety and Environment (HSE) Manager, Ross Cooper, was introduced to the Committee and invited to present the outcomes from the Health and Safety staff survey, circulated prior to the meeting. The following areas were noted;</p> <ul style="list-style-type: none"> ▪ The low response rate to the survey was highlighted; going forward the College plan to identify a more suitable time to conduct the survey to encourage an improved response. ▪ Areas of significantly lower response rate have been identified and HSE Manager plans to investigate this further. ▪ A baseline position has been secured to support future benchmarking. ▪ The survey will be completed annually to enable the College and Committee to monitor 	

	<p>changes in staff perception; a Committee member suggested running the survey to achieve an improved response rate sooner, suggesting creating a KPI linked to the response rate.</p> <p>A Committee member suggested the appointment of H&S champions to support the delivery of the plans, the introduction of dynamic risk assessing for H&S and environmental management, and the need for a focus on serious incidents whilst considering how information is cascaded within the College.</p> <p>A Committee member expressed concern on the low response rate. In response to the Committee member's question, the HSE Manager stated the key area of concern was the low response rate from some curriculum areas where there is a high level of practical work (and therefore greater risk) or where there is greater inherent risk. The College plans to develop their understanding of this area.</p> <p>A Committee member reflected on the reported investment required in H&S, specifically in the new systems referred to in the presentation, asking if there were sufficient funds within the College to support the desired investment. The College invested more on Health & Safety during 2020/21 which has been reflected in reduced number of outstanding issues on the H&S action log. The College plan to continue with providing the necessary financial support. With an increased focus on reporting and work place assessments, it is anticipated that the number of reported accidents and near misses will increase.</p> <p>A Committee member reflected on the need to include, within the Beyond the Boardroom activities, reporting on H&S; it was noted that recent task and finish group reviewing the implementation of Beyond the Boardroom had revised the feedback form to incorporate this.</p> <p>5.2 Update and clarity of Committee's remit for managing the risk of H&S A regular report against the proposed H&S KPIs will be presented to all Audit and Risk Committee meetings.</p> <p>5.3 Appointment of Health and Safety Lead Governor The Committee agreed to appoint Tracey Hooper as the Lead Governor for H&S. It was noted that the approval process for lead governors sat with Committee yet the Board will be informed. A lead Governor role description has been created and will be reviewed annually.</p> <p>5.4 KPIs proposal The following KPIs were proposed;</p> <ul style="list-style-type: none"> ▪ Reported accidents / incidents (accident rate by campus) ▪ Reported near misses (Number reported) ▪ Risk Assessments written overview and suite of indicators ▪ Safety inspections (Number completed) ▪ Corrective actions (Overview of completed and outstanding corrective actions) ▪ Completion of training (Performance against agreed plan) ▪ Work experience / workplace monitoring (Performance against agreed plan) ▪ Statutory Compliance (Performance in accordance with legal obligations) <p>The Committee were satisfied with the KPIs, noting the suggestion to introduce a KPI for the response rate to the staff survey. RC and BH left the meeting.</p>	AF
2	<p>RISK MANAGEMENT POLICY The Risk Management Policy and proposed amendments had been circulated prior to the meeting. It was reported that the College plan to identify the target aim for each risk and prepare a risk appetite schedule; a Committee member noted the need to maintain consistency for measuring risk appetite.</p>	AF

	The Committee agreed to recommend the policy to Board for approval.	WR
3	<p>REVIEW OF RISK REGISTER AND EXECUTIVE LEADERSHIP TEAM RISK MANAGEMENT DISCUSSIONS</p> <p>The risk register had been circulated prior to the meeting. The format will be revised once the new strategic aims have been agreed, and will be reviewed bimonthly by the Executive Leadership Team (ELT).</p> <p>There had been minimal change to the majority of the risks; the Committee provided the following feedback;</p> <ul style="list-style-type: none"> ▪ It was noted that there was only one risk listed under people, the addition of Health and Safety and staff welfare will be considered. ▪ Following discussion, it was agreed that the student recruitment risk will be developed to include other groups i.e. adult numbers. ▪ The increased risk linked to cyber security was noted, it was reported that the College have undertaken penetration testing. RSM will use a specialist team to support this audit. ▪ The need to remove the use of non-college email addresses. ▪ The IT manager will be invited to the next meeting to update on plans in place for client recovery from ransomware and system deep cleans. <p>A discussion took place on the vulnerability of the College in terms of the impact of a cyber attack, the potential costs for recovery and the need to consider insurance in this area; a committee member suggested an IT disaster recovery plan could be a useful tool with external auditors evaluating these plans.</p> <p>Tracey Hooper left the meeting, the meeting remained quorate.</p>	<p>AF</p> <p>AF</p> <p>AF/WR</p> <p>AF</p>
4	<p>BOARD ASSURANCE FRAMEWORK</p> <p>The framework had been circulated prior to the meeting, it was noted that Equality, Diversity and Inclusion, and Sustainability were themes that needed to be added.</p> <p>The Committee provided the following feedback;</p> <ul style="list-style-type: none"> ▪ The high quality education provision area appeared broad, it was suggested that this be revisited and further broken down, with additional external assurance sought on quality of education. ▪ Cross referencing this document to the risk register and grouping of areas by strategic objectives, would be beneficial. ▪ Regarding controls in place, it was suggested these could include the three lines of defence; prevention, monitoring and external assurance. ▪ Further external health and safety assurance needed, as referred to under the previous agenda item. ▪ Review the rag rating to ensure the current rating is not too optimistic where there is no external assurance; specifically business continuity planning to include cyber risks and the need for an assessment on whether further external assurance, in terms of adequacy is required, with the College to review sourcing insurance. ▪ As discussed at the previous A&R Committee meeting, the Committee are keen to receive confirmation that the business continuity testing has been completed. <p>In summary the Committee were pleased with the document and welcomed the move to align the document to the risk register, strategic aims and objectives and to review the rag rating where there has been is no external assurance.</p>	<p>AF</p> <p>AF/GS</p> <p>AF/GS</p> <p>AF/GS</p> <p>AF/GS</p> <p>AF/GS</p> <p>AF/GS</p>
6	<p>INTERNAL AUDIT PLAN 2021/22</p> <p>The internal audit plan had been revised following feedback at the last Committee meeting</p>	

	<p>(24/06/21) and circulated prior to the meeting. RSM reported that the Curriculum planning audit has been transformed into a Staff Utilisation and Resources audit with the Debtors audit removed and replaced with Equality, Diversity and Inclusion audit.</p> <p>An update was provided on the scope of the Cyber Security audit, noting that some aspects of business continuity and proactive controls will be included along with system back up guidance in accordance with the DfE June guidance.</p> <p>The Committee agreed to recommend this to the Board for approval.</p>	
7	<p>BUSINESS CONTINUITY PLAN</p> <p>Circulated prior to the meeting, it was reported that the review of the Business Continuity Plan had taken place yet this had not been presented to Board for approval in May 2020. The Committee agreed to recommend to Board the approval of the plan, on the understanding that it is in place and that a full review and revised version is planned for presentation to the Committee's November meeting.</p> <p>In response to a committee member question walk throughs will be completed.</p> <p>Anne Thomas, Adrian Ford and Graeme Sinclair left the meeting.</p>	PN/WR
8	<p>PRIVATE SESSION WITH THE AUDITORS</p> <p>Bishop Fleming reported no concerns.</p> <p>RSM reported that the College staff had responded well to RSMs requests whilst they completed remote working, commenting that the management team were being open and had voluntarily brought difficulties to RSM.</p> <p>RSM flagged the potential impact of completing all of their work remotely, yet had no concerns to report.</p>	
9	<p>DATES AND ADDITIONAL DATES OF NEXT MEETINGS</p> <p>The meeting dates for 2021/22 had been circulated prior to the meeting.</p>	