

**Governing Body**  
**AUDIT AND RISK MANAGEMENT COMMITTEE**

**Minutes of the virtual meeting held at 6.20pm on 5 October 2020**

**Present:** J Gazzard (Chair) J Wakelam  
 H Nydam (Co-opted) A Maltpress  
 N Roberts, (Co-opted)

**In Attendance:** S Jones, Vice Principal Finance and Resources  
 S Graham, Group Director of HR  
 J Raffel, Group Director Finance  
 P Ewan, Head of Finance at WSC  
 P Goddard, Scrutton Bland  
 L Keane, Scrutton Bland  
  
 T Elkin, Clerk

**Apologies:** There were no apologies

No interests relevant to items on the agenda were declared by members.

**1 Appointment of Chair and Vice Chair**

AMaltpress proposed JGazzard as the Chair of the committee, this was seconded by Nick Roberts and was **agreed** by committee members. AMaltpress proposed JWakelam as the Vice Chair of the committee, this was seconded by Nick Roberts and was **agreed** by committee members.

**2 Apologies for Absence**

There were no apologies.

**3 Minutes of the meeting held on 22 June 2020**

The minutes were agreed as a correct record.

**4 Matters Arising from 22 June 2020**

The matters arising from the meeting were summarised in the report and all actions reported had been completed or, where appropriate an update had been provided on progress elsewhere on the agenda.

It was noted that progress is being made with internal audit reports.  
 HNydam & NRoberts agreed to continue as a co-opted governor on the committee.

**5 Committee Terms of Reference**

PGoddard noted in section 8 the reports are going annually to the Corporation and agreed to share reports with the Clerk for circulation.

**6 Management Information Audit Report**

The report was accepted and presented by LKeane.  
 The KPI schedule is reviewed on a regular basis by college management. Senior Leaders have been allocated specific KPI's with a timetable, there is currently a strong framework in place.

**Action**

P Goddard  
 T Elkin

JGazzard thanked LKeane for the positive report which acknowledged the strong Executive and Leadership.

**7 Internal Audit Recommendation Tracking Report**

The report was accepted and presented by SJones.

JWakelam expressed concern about Health & Safety still being where it is but acknowledged that things have been difficult. SJones advised, "The current Health & Safety manager is bringing order to the role and function". AMaltpress agreed with the number of changes in this department, "We need to keep our eye on it". JGazzard queried, how long has the current team been in place? SGraham advised that it's been about 6 months, the new manager is very hands on in getting to grips and there has been impressive feedback. Very aware of operational elements of Health & Safety – online Health & Safety training is now part of the mandatory suite of training.

It was agreed to invite Health & Safety colleagues to the next committee meeting. RStevenson would also be invited.

T Elkin

**8 2019/2020 Internal Audit Annual Report**

PGoddard summarised the report which was accepted by the committee. It was noted how well West Suffolk College was doing with its learning and 'best practice' which can be seen through the audits. There was one audit remaining; Estate Management, when lockdown happened, but turned recommendations around quickly and the committee appreciated this.

The green assurances are slowly increasing every year.

JGazzard noted a solid set of results, "Are we underperforming versus our sector peers?" There will be challenges and stresses in the forthcoming year. The committee accepted the paper. JG expressed thanks to everyone involved in audits.

**9 Draft Internal Audit Strategy and 2020/2021 Annual Plan**

LKeane presented the plan. The internal audit has been matched to risks. SJones to check if the learning report has been received from Suffolk County Council. On 23<sup>rd</sup> November a final decision will be made as to whether the focus is between IT or Higher Needs. JWakelam proposed that IT is a focus, and the controls around it. It was agreed to focus on IT systems audit and the committee will address High Needs in the November meeting. The Clerk to add to the next agenda.

S Jones

T Elkin

**10 Progress Report**

LKeane noted that this is a summary of audits that have been planned.

**11 Risk Management Update**

JRaffel confirmed that the Risk Register has been circulated to the senior team and risk owners and summarised the status of risks. Four new risks have been added and four removed. An updated heat map has been created and Board assurance map as at September.

JGazzard questioned, if we still have waves of lockdown, are we confident that we are doing everything we can? SJones noted that it's challenging and the most difficult element is the DfE policy, as it changes throughout. There were plans for limited return to college and now there is pressure to have complete return. The college is actively working on short term succession due to potential staff illness. SGraham added, the college is ahead of governor advice and guidance operationally and summarised the action around bubbles and staff support.

Support staff are being encouraged to work from home. Colleagues are re-examining those who were on critically vulnerable list, discussions started today and across the West Suffolk College, there is action on continuity planning. There are constant supplies

of PPE and Track and Trace is live in each building. Thermal imaging cameras are operational in Reception.

**12 Review of Risk Management Arrangements**

The report was accepted by the committee. SJones noted that this is now the responsibility of SJones and JRaffel and has reviewed the process, it is now more dynamic. The key changes are around the Risk Register.

JWakelam asked, have you referred this to PGoddard and LKeane? SJones **agreed** to consider this. PGoddard confirmed that he had no concerns but it's good to refresh and re-assert the ownership and likes the new format.

Risk Register: there are a lot of numbers in the formula to determine the risk score, may be able to trim this down and PGoddard suggested an impact measure on teaching and learning. SJones agreed to action.

S Jones

New format of Risk Register – SJones advised on the new format. The additional change is 'risk appetite'. JGazzard agreed to take the 'SAT conversation' forward and to liaise with PGoddard and LKeane, but must be the 'right' conversation with West Suffolk College. NRoberts queried the risk appetite column, does it have any impact on the risk rating? SJones clarified, no, it does not impact on scoring, we wanted a generic risk applied to each risk, but any risk appetite can be changed.

JWakelam advised that she would be uncomfortable about cautionary risks disappearing and would rather look at risks being categorised as 'Mild, Moderate and Severe' Would welcome input from the auditors. JWakelam questioned PGoddard, would you propose including quality of teaching, would the standards and excellence meeting feed into this? PGoddard noted that it was an interesting idea, it could work.

PGoddard highlighted the risk appetite, this would normally be shaped by the committee, but the Board would also need a view of this. PGoddard proposed another column 'target risk score' and explained the rationale. HNYdam asked, to what extent is there commonality from SAT and risk management and their definitions, we need consistency. To what extent do these ideas follow on? JGazzard noted that via Terms of Reference, must work on behalf of West Suffolk College, the terms must be a reflection of the college but with a parallel document with SAT so that both are not too different.

JWakelam proposed that could share the risk appetite SAT papers with colleagues on the West Suffolk College committee – this was **agreed**. Good practice should be the same. It was agreed to re-visit at this at the November meeting of the committee. The Clerk to add to the next agenda.

T Elkin

**13 GDPR Update**

SGraham provided a summary of actions and his responsibilities. All is going according to plan. Every new member of staff has had a GDPR induction and a GDPR handbook. HR colleagues are supporting SGraham in conducting work across GDPR.

All GDPR breaches have been dealt with.

There have been some GDPR issues in TEAMS and these have been tackled. Are producing wording to be shared before each meeting to ensure that they are GDPR compliant.

Will review again in the November meeting. The Clerk to add to the next agenda.

T Elkin

**14 Any Other Business**

There was no further business declared.  
Thanks were expressed to all.

Date of next meeting:

- Monday 23 November at 6pm or 6.30pm.

The meeting closed at 7.15pm