

AUDIT & RISK COMMITTEE MEETING

CONFIRMED MINUTES OF THE AUDIT AND RISK COMMITTEE MEETING HELD ON TUESDAY 05 MARCH 2019 AT 0900 IN THETFORD BUILDING BOARD ROOM, CITY COLLEGE NORWICH, IPSWICH ROAD, NORWICH NR2 2LJ

Members Present:

Bree Sherwood (Chair), Noel Bartram, Jill Lanning

In Attendance:

Martin Colbourne (NES Finance Director), Paul Goddard (Scrutton Bland), Jerry White (CCN Deputy Principal), Jacky Sturman (Minute Clerk and Interim Clerk to the Corporation)

1. Apologies for Absence

Apologies were received from Corrienne Peasgood.

2. Declaration of Interests

There were no new declarations at the meeting.

3. Minutes of the Meeting held on 30 November 2018

The minutes of the meeting held on 30 November 2018 were not approved as they were not made available on the portal. It was agreed that the Chair would take Chair's Action to approve prior to the Corporation Board on 26 March 2019.

4. Matters Arising from the Previous Minutes

There were no matters arising from the previous minutes.

5. Section A

5.1 Risk Management Update

5.1.1 Update on IT Testing

MC gave a verbal update on the IT testing which took place on 20 February 2019 (an attempt to recreate the recent power outage and understand the reasons for it).

Various combinations of testing were carried out and as a result, although only 5 years old, the UPS battery was replaced. No issues were identified with the fire panel.

Two IT relays were found to be faulty and replacements have been ordered.

MC reported an overall positive outcome to the day, which also gave most staff a complete system free day to carry out housekeeping matters.

MC noted that Anglian Water were also on site carrying out works and this presented an opportunity for the College to implement and also test the use of the Business Continuity mobile phones.

BS asked if there were any plans to do further testing on the same scale. JW confirmed that there are no immediate plans to do so.

PG enquired as to whether any health and safety matters were identified, such as the emergency lighting not working etc. MC confirmed no issues were found. JW added that 'Risk' has been

added to meeting agendas to review protocols on an ongoing basis.

5.2 IAS Progress Reports for 2018/19

Audit	Assurance level provided	Proposed dates of audit	Audit Committee date for final report
Maths (basic maths premium)	Significant	Report Finalised	30 November 2018
Site Security	Reasonable	Report Finalised	5 March 2019
Curriculum Planning and Development	Significant	Report Finalised	5 March 2019

5.3 CCN Reports

5.3.1 Risk and Assurance Progress Report

The Risk and Assurance Progress Report was presented for discussion and PG confirmed that audit reports for Maths, Site Security, Curriculum Planning and Development had been finalised.

PG noted that the Adult Education budget utilisation fieldwork was completed in February. JL added that work was ongoing in this area from a curriculum perspective and that the work from both needs to be tied together.

BS confirmed the remaining three topics that require audit attention (ALS Software Implementation, Apprenticeship Compliance and Follow-up of Previous Recommendations); following discussion, no other areas were identified as more pressing.

JW added that the work around the ALS Software Implementation has evolved; the Norfolk County Council may be changing the whole system, so an internal audit at this time would be a good foundation to enter into any potential changes imposed by them.

JL added the potential for a full Ofsted inspection within the next 12 months.

5.3.2 Health & Safety Final Report

The Health & Safety Final Report was presented for discussion and PG noted the assurance opinion as Reasonable.

Auditors visited the Paston and Norwich campuses during which it was noted that the College continues to improve in this area with lots of work in progress.

The following recommendations were discussed:

1. Challenging persons on College premises who are not wearing College ID badges.
PG noted that a 100% compliance should be the aim in this area. JW confirmed that lots of work is currently ongoing to achieve this and a long term multi-faceted approach on how to communicate this cultural change to students is in the planning. Staff are fully compliant.

NB queried the expectation of students challenging persons on site without ID. JW confirmed that we are not necessarily expecting students to challenge a person directly, but if they see someone not wearing a badge that they raise this with a member of staff.

2. The College should ensure that any cameras identified as not working are either repaired or replaced.

The College currently has 130 cameras in operation, of which 114 are categorised as substandard (poor image quality) and 37 are currently not working. The benefits of having fully operational CCTV were discussed, such as a deterrent to inappropriate student behavior and security to college facilities. These factors should be taken into consideration when reviewing the considerable cost to upgrade necessary hardware and software.

5. The College should ensure that visitors are always accompanied as per the protocol.
NB asked if the College is now clear on this protocol. JW clarified that visitors are to be supervised, not accompanied at all times and that the College's Visitors' Protocol has been updated to clearly reflect this.

7. The College should consider and quantify any student survey responses where safety has been raised.

PG clarified that the challenge here is to take appropriate action to help manage students' perception of safety (help students understand there are not the risks that they perceive there to be) and help the College manage students' concerns.

JL added the need to help students understand and develop resilience to assist them in progressing on to University and work opportunities.

5.3.3 Curriculum Planning and Development Final Report

The Curriculum and Planning Final Report was presented for discussion and PG noted the assurance opinion as Significant.

The focus of this audit was the introduction of T-Levels, although some elements as to what a T-Level will eventually look like are still undetermined.

The following three low level recommendations were discussed:

1. Findings and actions arising from the Curriculum Planning Framework (CPF) meetings.
PG noted the good work produced as a result of the CPF meetings; however, the College needs to capture the process of how issues are progressed i.e. how to capture the evidence of what is agreed at these meetings and how actions are progressed to the final outcome.

To assist evidencing, JL suggested an audit trail of how the Curriculum and Standards Committee feeds into the CPF planning. The intent of why the College is running/delivering certain programmes and making this transparent to the Governing Body is essential.

2. The CPF pre-planning forms should be rolled out across the full curriculum, not just T-Levels.
JW confirmed the intention always was for these forms to be used across the full curriculum.
3. The skills matrix for Construction and Digital needs to be completed to tie in with the 31 January 2019 Implementation.
JW confirmed that the Skills Matrix was submitted on time and has been implemented.

5.4 NES Reports

5.4.1 Estates Management Final Report

The Estates Management Final Report was presented for discussion and PG noted the assurance opinion as Significant.

PG noted the online 365 planning/ maintenance management system as a very strong process.

MC explained that changes to management staff had presented good opportunities such as new team members bringing technical knowledge and expertise with them that has been utilised. MC noted his confidence in the risk and control framework that has been implemented.

The only recommendation from this audit was to ensure that contract performance meetings are held in alignment with KPIs.

MC agreed that the catering contract meetings had not been held as frequently as they could have been, and that accountability had broken down. However, MC noted improvement in accountability moving into the catering contractor's second year.

MC noted his satisfaction with the contract meetings for the other Group contracts.

5.4.2 Staff Recruitment Retention and Wellbeing Final Report

The Staff Recruitment Retention and Wellbeing Final Report was presented for discussion and PG noted the assurance opinion as Reasonable.

The following recommendations were discussed:

Medium Risk

1. A mechanism should be introduced whereby the non-compliance of undertaking probationary reviews is escalated to senior management.
Probation statistics are reviewed weekly by senior management.
2. A mechanism should be developed to hold managers to account for the incompleteness of staff appraisals and the appraisal process needs attention.
PG highlighted that only 81% of appraisals were completed for the 17/18 cycle. As at 15 February 2019 this figure was at 80%, against a 18/19 target of 95% target – slightly bigger gap than desired at this point; however the appraisal cycle finished on 28 February – final percentage to be identified. Effectiveness of the process is required.
MC noted that as at the end of February NES is was 92% compliant.

Low Risk

3. Job descriptions need to accurately demonstrate/reflect the roles of staff, as these tend to evolve very quickly.
JW noted that these are to be reviewed as part of the 2018/19 appraisal process.
4. The Appraisal Policy should be reviewed regularly according to the date set.
The Appraisal policy was reviewed in January 2019 following the creation of a separate policy for Academies who now follow a different process.

6. Section B

6.1 Significant Recommendations Update

MC reviewed the Significant Recommendations Report and highlighted the following:

- The pension figure requires scrutiny to ensure it is based upon entity specific factors.
- MC noted that despite i-Trent being the most used HR system in the country, it does have a few bugs, such as not retaining workflow. MC is directly in contact with the CEO of i-Trent to work through remaining issues.

- MC confirmed that the Bribery Act training forms part of the induction training for all staff which he personally delivers.

7. Section C

There were no items in section C for this meeting.

8. Other Urgent Business

PG noted that a new post 16 Code of Practice is due to be released imminently. This code will contain a new section on fraud which is well written and powerful – PG recommended this as a useful tool to the Audit Committee. PG agreed to summarise the key changes and bring to the next Audit and Risk Committee meeting. JL agreed to then take any general sector risks/ trends to the Board.

Action 1: PG to summarise the key changes of new Post 16 Code of Practice for next Audit and Risk Committee meeting (PG).

BS queried how the Risk Register might be considered at other committees. JL confirmed that Corporation Board do not see/review the full Risk Register. How long-term planning is impacted by potential risk was discussed. It was agreed that it is important to understand what is the risk, how is it managed and what mitigating actions would the College take if something went wrong. BS suggested a sense check from the Corporation Board half way through the year.

9. Principal's Summary for Board

JW provided a summary of the meeting against the College's Strategic Aims.

10. Easton and Otley Update

The Principal informed the Committee that the FE Commissioner's Report on Easton and Otley College was published in February 2018. The steering group has met twice and five Expressions of Interest were submitted by the deadline and the Principal informed the Committee that all five have been asked to submit full submissions.

The College will be submitting in the next stage which requires a 10,000 word tender by the 18 March 2019 deadline. Between the 18 March and 1 April, the bids will be scored and on 1 April two to three bids will be taken forward to the presentation process on 25 April 2019. The Principal informed the Committee that as part of the process of developing the submission, she has met with the Easton and Otley Finance Director, Director of Estates, management team and the Deputy FE Commissioner and a significant number of stakeholders.

The final decision will be made by the Minister of State and the Governing Body.

11. Date of Next Meeting

Tuesday 19th June 2018 at 8.30am at City College Norwich.

All business having been concluded, the meeting finished at 10:35 am

CHAIR:.....

DATE:.....