Minutes
GB Audit & Risk Committee
Governance

Date	28/09/2023
Time	16:30 - 18:00
Location	Teams Link
Present	Nasim Khan, Simon Boulcott, Vincent Neate, Keith Smith, Perry Perrott, Anna Beattie, Shane Woodhatch, Dylan McTaggart, Tracey Critchley, Sarah Steadman, Rekha Kaul (notes)
Guest observer	Sarah Steadman
Absent	Ketan Sheth
Arrived late	Andy Miller and Vincent Neate

230928 GB Audit & Risk Committee Actions Summary

Action Tracker:	Actions:	Responsible:	By When:
1	All Governors to sign Annual Conflict and Declaration of Interest forms by Friday 6th October.	PP	6/10/23
2	PP/SW to arrange three fully simulated Lockdown Tests at Richmond Campus, Hill Campus and Uxbridge Campus main sites during week commencing 30/10/23. Staff and student will receive pre-training in advance of.	PP/SW	w/c 30/10/23
3	PP/SW to report back findings to the next GB A&R committee meeting on 22nd November 2023.	PP/SW	22/11/23
4	PP to provide an update on HRUC policy and procedures to the next GB A&R committee meeting on 22nd November 2023.	PP	22/11/23
5	Wider discussion on useability of the new HRUC Risk Register at forthcoming GB A&R committee meeting (in November 2023 or March 2024).	PP	Future GB A&R
6	PP/SW to provide a detailed Health & Safety Report that will provide assurance to the next GB A&R committee meeting on 22nd November 2023 of the SMART targets/actions that have been achieved on an item by item basis, the SMART targets/actions still to be achieved and detail about how/when/who the actions will be completed by, in order to achieve full compliance and address all Health & Safety issues.	PP	22/11/23
7	Standing Item - Wellbeing to be added to start of GB A&R committee meetings.	PP	Ongoing
8	SW/AB to provide the committee with a view of the invite to tender documents (internal and external) at the next GB A&R committee meeting on 22nd November 2023.	SW/AB	22/11/23
9	Create summary table of statutory and compliance audits that have been completed in previous three years, including changes of legislation of regulatory work which require new audits to be completed in future, to be provided at the next GB A&R committee meeting on 22nd November 2023.	SW/PP	22/11/23
10			
11			
12			

1. Election of Chair:
NK was nominated as Chair.

2. Election of Vice Chair:
VN was nominated as Vice Chair.

3. Apologies for absence:
Apologies were noted for Ketan Sheth.
Andy Miller joined the meeting at 16:42.
Vincent Neate joined the meeting at 17:00.

4. Declarations of Interests:
None were reported.

ACTION 1: **All Governors to sign HRUC Annual Conflict & Declaration of Interest forms by Friday 6th October.**

5. Minutes of the GB Audit & Risk meeting dated 15th June 2023:
230615 GB Audit & Risk minutes were approved.

6. 4 Actions were noted from GB Audit & Risk meeting dated 15th June 2023:

6.1 Action 1: PP/SW have reviewed a number of new lockdown system quotations, costing in excess of £100k.

6.2 The current lockdown system is NOT advised, due to students not being aware of the lockdown and fire systems, whjch will cause confusion.

6.3 PP/SW are drafting the HRUC Estate and Property Strategy and will include a new Lockdown Procedure.

ACTION 2 **PP/SW to arrange three fully simulated Lockdown Tests at Richmond Campus, Hill Campus and Uxbridge Campus main sites during week commencing 30/10/23. Staff and student will receive pre-training in advance of.**

ACTION 3 **PP/SW to report back findings from the three Lockdown Tests to the next GB A&R committee meeting on 22nd November 2023.**

6.4 Action 2 is complete. All five campuses have purchased and installed a defibrillation kit. Uxbridge Campus has two kits.

Andy Miller joined the online meeting at 16:42pm.

6.5 Action 3 is complete.

6.6 Third party external company has been commissioned to provide a full review of HRUC policy and procedures. A report is awaited at the end September.

ACTION 4 **PP to provide an update on HRUC policy and procedures to the next GB A&R committee meeting on 22nd November 2023.**

7. Risk Register:
7.1 Director of Governance (PP) and the CFO (SW) presented a demonstration overview of the revamped Risk Register, Dashboard and Balance Scorecards using a new software called Monday.com.

7.2 The Risk Register and Balance Score Cards are now live documents.

7.3 Following a suggestion from the Chair (NK) a new column was added to show when a risk was reviewed at each committee with "last committee/date reviewed at". Each risk is to be assigned to a "Senior Risk Officer" and "SLT Risk Owner".

7.4 The committee thanked PP and SW for work to develop the new HRUC Risk Register and Balanced Score Cards, which looks like an improvement of the previous risk register process.

ACTION 5 **Wider discussion on useability of the new HRUC Risk Register at forthcoming GB A&R committee meeting (in November 2023 or March 2024).**

8. Risk Management report for 2022/23:

Shane Woodhatch talked to the highlights of the detailed reports that had been provided.

9. Fraud and Irregularities:

No fraudulent and irregular activities have taken place.

Vincent Neate joined meeting at 17.00pm

10. Health and Safety Report:

10.1 Andy Miller talked to the highlights of the detailed reports that had been provided.

10.2 PP provided the committee with assurance of a thorough and unified body of work to scrutinise HRUC Safety Culture, with examples of activities including:

10.2i Development of the new HRUC Risk Register
10.2ii Appointment of new Data Protection Officer
10.2iii Review of IT Security, Estates and Safeguarding

10.3 The Committee thanked PP for the detailed assurance that was provided and look forward to seeing the outcomes of the work.

10.4 The Committee highlighted the importance of the Health & Safety audit and raised concerns about the timescales towards achieving resolutions. In particular, now that HRUC has merged and is three colleges, it is imperative that that Health & Safety culture and practice are achieved in a timely and thorough manner.

ACTION 6   **PP/SW to provide a detailed Health & Safety Report that will provide assurance to the next GB A&R committee meeting on 22nd November 2023 of the SMART targets/actions that have been achieved on an item by item basis, the SMART targets/actions still to be achieved and detail about how/when/who the actions will be completed by, in order to achieve full compliance and address all Health & Safety issues.**

10.5 The CEO (KS) made three comments to assure the Committee:

10.5i The committee is being asked to respond to the Health & Safety report and ensure the necessary actions have been taken.

10.5ii The committee is being asked to ensure there is an effective approach to self-assessment and approach to Health & Safety, so that wider assurance that the right controls, systems and cultures are in place i.e. not relying on an audit report to inform of good or bad practices.

10.5iii To strengthen Governance, a new Executive meeting will be introduced looking at Health & Safety culture, to provide more assurance of H&S procedure and culture is to be embedded.

The Committee thanked Andy Miller for his efforts towards the Health & Safety report.

ACTION 7   **Standing Item - Wellbeing to be added to start of GB A&R committee meetings.**

11. Draft Audit Committee Report 2022/23:

AB talked to the highlights of the detailed reports that had been provided.

ACTION 8   **SW/AB to provide the committee with a view of the invite to tender documents (internal and external) at the next GB A&R committee meeting on 22nd November 2023.**

12. New Auditors Appointment and Scope:

SW provided a verbal update during Agenda Item 11.

13. Internal Audit Strategy 2023/24

13.1 SW talked to the highlights of the detailed reports that had been provided:
13.1i   Key Financial Controls
13.1ii   Funding Compliance
13.1iii   Compliance with GDPR
13.1iv   IT Systems and Processes

13.2 It is good practice for IT Security Systems and Data Protection to be separate processes.
13.2 Governor Ketan Sheth is the link governor for Data Protection.

ACTION 9   **Create summary table of statutory and compliance audits that have been completed in previous three years, including changes of legislation of regulatory work which require new audits to be completed in future, to be provided at the next GB A&R committee meeting on 22nd November 2023.**

14. Any Other Business (AoB):

ACTION 9   **All Governors are to be issued with new HRUC email addresses/username and passwords to be compliant with HRUS's enhanced IT security systems.**

15 - Dates of the next meetings

Dates of forthcoming GB Audit & Risk Committee meetings:
Wednesday 22/11/23 at 16:30 - 17:15 @ Hill Campus/online.
Thursday 07/03/24 at 16:30 - 18:00 @ Richmond Campus/online.
Thursday 13/06/24 at 16:30 - 18:00 @ Uxbridge Campus/online.

The meeting ended at 18:00

Signed…………………………………………

Date……………………………………………