



**MidKent College**

**GOVERNING BODY**

**RISK & AUDIT COMMITTEE**

Minutes of the meeting of the Risk & Audit Committee held on Tuesday 17 November 2019 at (09.30) 1000hrs via Zoom.

<b>Present:</b>	Mr C Reynolds	Chair
	Mrs B Jossi	
	Mr C Reeves	
	Mrs C Richardson	
<b>In attendance:</b>	Mr M Blanning	F&GP Member observing
	Ms C Burkin	Clerk to the Governing Body
	Mr S Cook	Principal/CEO
	Mr C Hare	Exec Director
	Ms G Harvey	For item 5 only
	Ms L Keane	Scrutton Bland Internal Auditors
	Mr M Peat	Exec Director of Finance & Estates
	Mrs N Wakefield	Mazars External Auditor

**1 Declarations of Interest**

The following members interests are numbered and referenced on the Declaration of Interest log dated 23 November 2020. Mr C Reynolds (10) Chair, Mr M Blanning (2), Miss B Jossi (7), Mr C Reeves (9) and Mrs C Richardson (11).

**2 Apologies for Absence**

Apologies were received from Ms C Bushell, Mazars External Auditor, Mr P Goddard, Scrutton Bland Internal Auditors and Mr J Williams.

**3 Minutes of the meeting and confidential minutes, held on 29 September 2020.**

The minutes of the meeting held on 29 September 2020 and confidential minutes, Paper GBR&A20/507(a), were accepted as a true record and will be digitally signed by the Chair.

Chair 

#### 4 Matters Arising and Outstanding Matters Report – Paper GBR&A20/508

There were no matters arising.

Members discussed Paper GBR&A20/508, the Outstanding Matters Report.

- No 1. Risk Management Report – meeting to discuss requirement took place on 20 October 2020 – **Complete**.
- No 2. External Audit Planning Strategy - Members noted the early draft report regarding the current position. The Strategy will be reviewed in October 2020. To be confirmed – **ongoing**.
- No 3. Risk Management Report - a separate column would be useful to state linked risks - To be amended once the outcome of item6 is agreed – **ongoing**.
- No 4. There was some debate as to whether the Committee serves the Group and it was agreed this will form part of the wider discussions being held regarding the Group relationship strategy. **Ongoing**
- No 5. Review Risk Appetite - This item will be brought forward to the R&A Committee meeting in February 2021. Noted for February 2021 – **Ongoing**.
- No 6. Audit Report re fraud register – to be circulated once agreed. Available with the Regularity Audit completed by Mazars – **Complete**.
- No 7. AOB - The meetings for the remainder of the academic year will commence at 5pm. Meeting invitations amended. **Complete**.

Members **accepted** the report and the recommended actions arising from it.

#### 5 Deep Dive: GDPR/Information Security Update – Paper GBR&A20/509

Georgia Harvey, Information Security Officer, joined the meeting to present the paper.

The report provided Governors with an oversight of compliance with legal requests and provided an update on the most recent developments in information security at the College. It also included the usual report and an update on the number of breaches reported between 01 August 2020 and 21 September 2020.

Members received a presentation which explained further the information security at the College. G Harvey informed members of the difference in responsibility between the College and MKC Training Services who have a separate Data Protection Officer and legislation to follow. Members noted that future plans for shared data are being arranged.

G Harvey walked members through the journey the College had made since 2017 to date highlighting the changes in regulation, advances in technology and security.

Members received an insight to the process undertaken when there is a breach and gained assurance from the audit trail. The confirmed data breaches were presented by academic year and the types and mitigation were discussed. Data requested were also discussed and robust process scrutinised. The spike in requests could be correlated to events in the College and raised no concerns.

The Committee were also presented with the future plans and associated risks.

Members thanked G Harvey for the informative presentation and it was noted that something similar could be used in staff training.

Members **accepted** the report.

## **6 Risk Management Report – Paper GBR&A20/510**

Martin Peat and Simon Cook presented the risk management report paper GBR&A20/510. The paper was presented for agreement on the way forward with the revised Risk Register. It was noted that the current Risk Register is on a separate shelf on Board Intelligence and has been updated by all risk owners. Members were reminded that MKCTS use different software for their register which will be presented annually. Members noted that the strategic relationship of the Group is being presented and discussed at the Governing Body meeting in December, after which the reporting of their register may be reviewed and the Committee membership may alter. Members agreed that the MKCTS top risks should be reported to the Committee as they could impact the College.

Following the additional meeting Committee on 20th October 2020, the paper was produced to summarise the discussion and S Cook presented this to the Committee. The overarching principles outlined in the paper were discussed in detail. When the Auditors were asked for their opinion, L Keane said she would gain the views of her colleague, who has expertise in this area and report to the Chair.

**Action: Scrutton Bland**

Members agreed that the current College risk register is rightly full of operational risks which are managed daily by the College. The Committee need to be monitoring and aware of the strategic risks in line with the College's three strategic priorities: Education; Community and Economy. The register also needs to reflect any new risks on the horizon. It was agreed a re-balance is required to ensure the Committee are reviewing the high level risks without stepping into the operational management of the College.

It was agreed the Executive Team will draw up a new strategic risk register for the next Committee meeting on 2 February 2021. The Chair offered his assistance if require.

**Action: Exec for Feb 2021**

Members thanked the Executive for the paper. They were confident that the leadership can deal with unexpected risks as they continue to evidence this with the changing Covid-19 guidance. Members **accepted** the report.

**7 Draft R&A Annual Report 2019/20 – paper GBR&A20/511**

The Chair presented the draft R&A Annual report for comment.

Members noted that it is a requirement of the College to send this report to the ESFA by the end of December each year. The report included information about the Committee including its activities and self-assessment. The report makes it explicit that the College's governance model splits the Audit and Finance duties

Members noted no financial irregularity during the year and that good value for money and the Committee is adequate and effective.

Members **agreed** the report with a couple of minor amendments for **recommendation** to the Governing Body.

**Action: Chair**

**8 Internal Audit Reports – Papers GBR&A20/512 & GBR&A20/513**

Scrutton Bland presented the following:

- Updated Internal Audit Strategy and Annual Plan for 2020/21 - paper GBR&A20/512 - This is an updated version of the Internal Audit Plan for 2020/21 to reflect the comments made during the previous Committee meeting. Although members discussed the audits agreed and the days allocated, it was noted that the full scope and specification for each audit had not yet been discussed and agreed with the College Management.
- Progress Report – paper GBR&A20/513 - this confirms the agreed fieldwork dates for each assignment report.

The Committee accepted the reports and thanked Scrutton Bland.

**9 Any Other Business**

The draft agenda for 2 February 2021 was agreed with the following amendments:

- February 2021 - Deep Dive will be Risk Register Review and MKCTS will be invited.
- June 2021 - Deep Dive will be Apprenticeships.

**Action: Clerk**

**10 Date of Next Meeting**

The next meeting will be held on Tuesday 2 February 2021 at 17.30hrs at the Medway Campus or via Zoom.

The meeting closed at 11.40hrs