

**MINUTES OF MEETING OF
THE AUDIT COMMITTEE
HELD VIA MICROSOFT TEAMS AT 5.30PM ON THURSDAY 19 MARCH
2020**

Present: Mr D Thorpe (Chair)
Mr Brown
Mr A Gold
Ms S Laycock

In Attendance: Mx L Johnson (Principal)
Mr K Williams (Interim Vice-Principal
Finance and Resources)
Mrs J Matthews (Director of Governance)
Ms J Butterfield (TIAA)
Mr D Roper-Newman (CDC) until M19/22

		ACTION
	APOLOGIES FOR ABSENCE	
M19/17	There were apologies for absence from Mrs F Thomson.	
	DECLARATIONS OF INTEREST	
M19/18	There were no declarations of interest.	
	DATA PROTECTION UPDATE	
M19/19	The Chair welcomed David Roper-Newman from Craven District Council who had been appointed as the College's Data Protection Officer (DPO). It was noted that there were a number of issues from the audit report in 2018 that remained outstanding and he was developing a plan to bring the College to the appropriate standard of compliance.	
M19/20	A question was asked about whether there was any GDPR advice for the College's employees in light of the current Coronavirus situation and Mr Roper-Newman agreed to share advice on home working with the Interim Vice-Principal (Finance and Resources). The Principal reported that the AoC had issued a model policy for home working which would be issued to staff.	D Roper-Newman Principal
M19/21	A Governor queried whether there was anything significant that the Committee should be aware of that was not in place and Mr Roper-Newman confirmed that he would carry out a gap analysis using the ICO 12-step programme of activities and report back to the Committee.	
M19/22	It was agreed that an update would be provided to the next meeting of the Committee. Mr Roper-Newman left the meeting at this point.	Interim VP F&R
	BUSINESS CONTINUITY PLANNING AND CORONAVIRUS	
M19/23	The Principal gave an update on Business Continuity Planning and the College response regarding Coronavirus. Microsoft Teams had been set up and a Covid-19 Action Plan had been developed. A daily "COBR" meeting was taking place to ensure that all key staff were up to date and appropriate action was being taken.	
M19/24	A question was asked about the College closure and it was confirmed that the campuses would close at 5pm on Friday 20 March with full-time learning moving online. All vulnerable students had been identified and staff would continue to support them. All buildings other than Ingleborough would be closed and there would be a Reception based in the Principal's Office.	

M19/25	The Principal reported that the Business Continuity Plan was outdated and a question was asked about what steps would be taken to update it. The Principal reported that it would be reviewed to ensure that it covered everything comprehensively and a timetable for update, training and testing would be developed to report to the next meeting.	Principal
M19/26	Members noted that the key issue for the College at present was finance, with funding at risk if not all provision was being delivered.	
	MINUTES OF 28 NOVEMBER AND 3 DECEMBER 2019	
M19/27	The minutes of the meetings held on 28 November and 3 December 2019 were approved.	
	MATTERS ARISING ON THE MINUTES OF 28 NOVEMBER AND 3 DECEMBER 2019	
M19/28	It was noted that all matters arising on the minutes of 28 November 2019 had been completed prior to presentation of the financial statements to the Board in December 2019.	
	<i>M19/04 – HR strategy</i>	
M19/29	The Principal reported that the HR strategy was being developed and would be presented to the Board once complete.	Principal
	<i>M19/04 – Phishing test</i>	
M19/30	The report on the phishing test had been circulated to the meeting for discussion.	
	<i>M19/07 – data protection officer</i>	
M19/31	It was noted that a service level agreement was now in place for a data protection officer and a report had been made to the Committee earlier in the meeting.	
	<i>M19/08 – review of committee effectiveness</i>	
M19/32	Ms Butterfield confirmed that TIAA could support the Committee in conducting its self-evaluation of effectiveness.	TIAA/ Director of Governance
	RISK MANAGEMENT	
M19/33	The Principal reported that they were undertaking a review of the risk management policy along with the risk register. Risks around the Equine Unit and sale of the High Street had been added, along with additional risks relating to finance, and specifically part-time staffing. The Committee endorsed a review of the process and agreed that risk management should form a key part of the management of the College. Whilst accepting that an operational risk register was necessary, the Committee was keen to see a separation of operational and strategic risks, with the Board focussing on the latter.	
	UPDATE ON AUDIT RECOMMENDATIONS	
M19/34	The update on audit recommendations had been circulated and it was noted that the outstanding recommendations from the GDPR audit would be addressed by the new DPO. It was noted that heightened controls were needed in relation to part-time pay which was having an adverse effect on the College's financial position.	
M19/35	The Interim Vice-Principal (Finance and Resources) reported that the Health and Safety audit had been cancelled since the ISO45001 audit was taking place in April 2020. Discussions were taking place with TIAA about which reviews could take place in the current environment.	
M19/36	A question was asked about the protocol for amending the audit plan that had been agreed by the Board and it was reported that monitoring of the Audit Plan was the responsibility of the Audit Committee. Agreement should therefore be sought from the Committee for any cancellations or deferrals of audits. Members agreed that it might be	

	appropriate to defer some of the planned audits under the circumstances and there might be other areas that needed to be prioritised. It was suggested that the BCP/Disaster Recovery audit be postponed, given the circumstances, and the Principal confirmed that it would be helpful to concentrate on those audits which might add value. It was agreed that the Interim Vice-Principal (Finance and Resources) should liaise with TIAA to discuss what might be feasible in the current environment, and proposed amendments would be presented to the Chair of the Committee for approval.	Interim VP F&R
	INTERNAL AUDIT	
	Phishing Test report	
M19/37	The Committee had received the phishing test report and it was noted that an IT training day had taken place on 4 February. An action plan would be produced which would be presented to the next meeting of the Committee. A question was asked about whether it would be appropriate to undertake a repeat test to ensure that staff had taken on board the lessons from the first exercise and it was agreed that should be discussed with TIAA.	Interim VP F&R
	Budget Controls	
M19/38	Members had received the report on the budget controls audit and agreed that it was a well-written report. They were pleased to note that substantial assurance had been given overall and thanks were expressed to the audit team.	
	POLICY REVIEWS	
	Anti-money laundering policy	
M19/39	The updated Anti-money laundering policy had been circulated and a question was asked about whether the policy referenced the latest legislation. It was agreed that the Interim Vice-Principal (Finance and Resources) should review this to ensure that it reflected the latest regulations and bring it to the next meeting of the Committee should there be any changes. Subject to the above, the Committee approved the Anti-money laundering policy.	Interim VP F&R
	Non-audit Services policy	
M19/40	The updated policy on Non-audit Services had been circulated and was approved subject to change of the author's name.	
	Date of next meeting	
M19/41	Members noted that the next meeting of the Committee was scheduled for 5.30pm on Thursday 25 June 2020.	
	The meeting closed at 6.55pm.	