

## The Henley College Corporation

---

### MINUTES of the Meeting of the Audit Committee held on Wednesday 13 March 2019 at 10.00

<p><b>Members Present:</b> David Welch Mohammed Khaliel Jeni Wood Tony Sanderson</p> <p><b>In attendance:</b> Satwant Deol Ashok Patel James McCaffney Dakodra Takodra Jacky Gearey</p>	<p>Independent Member/Chair Independent Member Independent Member Co-opted</p> <p>Principal Director of Finance (DoF) Health &amp; Safety Manager and Estates (HoS) TIAA Clerk</p>	
<b>Agenda Item</b>	<b>Minutes</b>	<b>Action by</b>
3.1	<p><b>Opening of meeting</b> The meeting opened at 10.01 and the Chair welcomed Dakshita Takodra from TIAA to her first meeting</p>	
3.2	<p><b>Apologies for Absence</b> There was one apology from Steve Forward</p>	
3.3	<p><b>Declaration of Interests</b> There were no declarations of interest.</p>	
3.4	<p><b>Minutes of Previous Meeting</b> The minutes of the meeting 29 October 2018 were approved.</p> <p style="text-align: center;"><b>Resolved: The Committee agreed that the Minutes were an accurate record of the meeting of 29 October 2018 and were signed by the Chair.</b></p>	
3.5	<p><b>Matters Arising from Previous Meetings</b> The Chair asked for an update on the printer management contract: The DoF briefed the committee that the printer management contract is being delayed for another year as that there were two suppliers involved and that the termination exit costs for one of these were sizeable at around £23k. Albeit the sum could be written off as part of a new deal, it was felt that it would be more prudent to let this contract run until its termination date of May 2020. In addition, the DoF said also that the College had too many printers (90 was the current count and in excess of what a College of this size requires) which meant that there was going to be a rationalisation of these assets and a paper going to SLT recommending not to pay to exit the current contract and to reduce the number of printers. The DoF confirmed that the reduced number of printers would meet the requirements of the College.</p> <p>The Chair thanked the DoF for the update and asked for confirmation that as the new procurement officer was in post that such contracts would not be entered into again. The DoF confirmed that this would not occur again.</p> <p>There were no further matters arising.</p>	

## The Henley College Corporation

---

3.6	<p><b>Internal Audit Report</b></p> <p>The appraisal review (internal audit) of curriculum planning was conducted by TIAA Ltd in January 2019 and it considered the arrangements for planning the curriculum to ensure that the needs of the learners, employers and stakeholders in the wider community are being achieved. The review considered the arrangements for planning the resources for delivery of the curriculum.</p> <p>Due to the long term absence of the Deputy Principal who would normally lead the annual planning process an interim Curriculum Planning officer (ICPO) (Alan Jones) was appointed to support the College's high level curriculum planning process which began in November 2018.</p> <p>The overall conclusions were:</p> <ol style="list-style-type: none"> <li>1. The review showed that there was a clear stepped approach to review the curriculum and planning of resourcing.</li> <li>2. The process did include the Heads of Faculty and Curriculum Leaders and the draft plan did address objectives and risks to the College.</li> <li>3. The 2019/20 Curriculum Plan paper was taken to the Governors' meeting on 7th February 2019 where it was approved. This included a number of actions and will also inform the business review currently underway, however the Audit committee has not seen a planning timetable post approval of the curriculum plan.</li> <li>4. The actions identified in the plan need to be implemented in a timely manner to ensure objectives can be achieved and further recommendations have been made with respect to future planning cycles to ensure that planning is undertaken in an efficient and effective manner. The actions are: <ul style="list-style-type: none"> <li>• Timetable for 1 hour lessons</li> <li>• Retention strategy</li> <li>• Transferrable (employability) skills framework</li> <li>• Work experience plan</li> <li>• Teaching and learning strategy</li> <li>• Training and support plan for teachers</li> <li>• Plans for each curriculum area for employer involvement</li> <li>• Strategy for development of Tech Level qualifications</li> <li>• Progression map (visual representation of routes to employment from every College programme)</li> </ul> </li> </ol> <p>The committee felt that they had now been given reasonable assurances based on the recommendations made by TIAA.</p> <p>The Principal further confirmed that there was a retention strategy and the College was constantly working on employer engagement. The Chair and committee asked who was going to be the incumbent CPO and the Principal confirmed that both Heads of Faculty would undertake this role with Alan Jones as their mentor. The Principal then said that the curriculum plan was developed from the bottom up and that it had been incorporated into the recovery plan that the Board had approved. This review had tested the approach and because the drive for the financial strategy has been paramount, it was felt that this curriculum plan will need to be reviewed again in June in preparation for the next academic year. TIAA said that this was a push and pull exercise and that finance and the plan will both be following an iterative and linear process.</p> <p>The committee then went through each of the recommendations with questions to TIAA. The Chair commented that it was good that all the different agencies had been brought into the discussion and that horizon scanning was being undertaken (meaning the strategy which included an objective to provide a diverse curriculum aligned to the skills and knowledge requirements of the college's learners, employer and the community). The</p>	
-----	---	--

## The Henley College Corporation

---

	<p>Chair said that the strategy needed to be discussed at a Governors' Away Day to look at its overall shape with input from governors ensuring that this would give governors the confidence that this is the right way forward.</p> <p>The Chair asked that the curriculum plan (which goes first to the Quality and Standards committee and thence onto the Corporation for approval) should be seen by the audit committee to check that the correct processes are being followed. He emphasised that the governors need to be happy with the direction of the educational character, and that curriculum planning is integrated within the overall cycle of other planning, quality and financial timetables, with the measurement of this cycle.</p> <p>The Principal confirmed that the 2019/20 curriculum planning exercise will start this June.</p> <p>The Chair thanked TIAA for a good comprehensive report.</p> <p>The Clerk was asked to send the following to the committee:</p> <ol style="list-style-type: none"> <li>1. Educational character</li> <li>2. College Organisational chart</li> </ol> <p>TIAA then outlined the forthcoming internal audits which would be presented at the next meeting for:</p> <ol style="list-style-type: none"> <li>(i) finance payables and payroll – March/ April; and</li> <li>(ii) learner number systems (focussing on apprenticeships) - end of May.</li> </ol> <p><b>Resolved that:</b></p> <ol style="list-style-type: none"> <li><b>(i) the Appraisal Review of Curriculum Planning had been received by the committee</b></li> <li><b>(ii) Clerk to send to committee members Educational Statement and Organisational Chart</b></li> </ol>	
3.7	<p><b>Risk Management</b></p> <p>The Strategic Risk Register as recently updated in February 2019 was reviewed in detail. The Chair highlighted the following:</p> <ol style="list-style-type: none"> <li>1. Financial impact - based on the significantly reduced planned deficit to £200k, the recovery plan, the new strategy and new curriculum plan which together mitigated the risk.</li> <li>2. Fall in student numbers - the committee had asked about business development and the Principal advised that marketing has been told to focus on 16-18 year olds but there was and still is a downward demographic trend. She did emphasise that it was however important to plan ahead for this and to ensure that the College is open to everyone thereby ensuring that positive messages are being sent out to the community.</li> <li>3. SAR grading - was a 3 which should be a red but was being mitigated.</li> <li>4. GDPR roll out was completed.</li> </ol> <p><b>Dakshita Takodra left the meeting at 11.35</b></p> <p><b>Resolved that:</b></p> <ol style="list-style-type: none"> <li><b>(i) The Strategic Risk Register was received by the committee</b></li> </ol>	
3.8	<p><b>Health &amp; Safety Report</b></p> <p>The Health and Safety Audit including security update was presented by the HoS and there had been no issues to note.</p> <p><b>Resolved: that the Health &amp; Safety and Security Audit update was received by the</b></p>	

## The Henley College Corporation

---

	<b>committee</b>	
3.9	<p><b>GDPR update</b></p> <p>(i) The Head of MIS had confirmed to the Clerk that there had been no personal data breaches or any other GDPR issue for this academic year so far which required notification to this committee or the Corporation.</p> <p>(ii) The Clerk advised the committee that as the College had been unsure who to appoint as a DPO after the previous interim Director of Finance had left, it was decided to use the data protection services of a GDPR company. This company specialises in the education sector and is called "turnITon" as the current GDPR service provider did not provide the service of a DPO. The College's website has been updated accordingly and the College's new Freedom of Information Policy makes reference to data requests which will initially be registered through the College via the designated Data Protection Lead – Head of MIS – who will record any requests and then send them on to TurnITon. The GDPR specialist governor said that he wished to speak to the Head of MIS regarding the state of GDPR within the College.</p> <p><b>Resolved that:</b></p> <p><b>(i) the report on GDPR was received by the committee</b></p> <p><b>(ii) the special GDPR governor to speak to the Head of MIS.</b></p>	
3.10	<p><b>Key Person Dependency – BCP</b></p> <p>The SLT, Audit and other Committees recognised that the College is currently managing a number of key internal functions with temporary or interim arrangements. Some of this is as a direct result of long-term staff absences, but mostly these are due to problems in recruiting suitable staff. The long-term absence of the current Deputy Principal has significantly added to pressure of leadership cover, as this post covered a number of key tasks. The likelihood is that the College's ability to recruit and retain staff will be extremely challenging given its size and the current FE climate. It is therefore the SLT's view that nothing substantial can be achieved until the outcome of the Further Education Commissioner's review has been concluded and provided its report. There are no direct recommendations arising from the paper presented but only options to consider and/or debate. However it is essential to protect the managers to ensure stability and that investment should be directed there.</p> <p>The Chair looked at the following points mentioned in the report:</p> <ol style="list-style-type: none"> <li>1. Consider alternative options to delivering key leadership matters e.g. Strategic HR/Finance – could be purchased in as and when required, contract out other services e.g. IT/MIS/HR/Finance/Facilities &amp; Estates management etc.</li> <li>2. Identify business critical tasks as opposed to staff, to ensure that when any critical absences occur, there is an immediate reaction to the needs of the College and essential matters are fully considered and covered.</li> </ol> <p>The Chair said that although this was not an audit issue, the committee only wanted to flag the issue of key person dependencies as something to be considered at Corporation level. Having seen the impact of various key staff who have left or been on long-term sick leave, the Board is equally dependent on the Principal, DoF and probably others such as curriculum leaders. The Chair felt that an assessment of dependency on key individuals and contingency plans to mitigate risk should form part of a College Business Continuity Plan. The Principal agreed. The principal also advised the committee that the SLT is looking at providing an active organisational plan as a priority and will keep the Board updated.</p>	

## The Henley College Corporation

---

	The committee felt that this was an excellent paper and thanked the DoF. <b>Resolved that: the report on the Key Person Dependency was received by the committee</b>	
3.11	<b>Any Other Business</b> There was no other business.	
3.12	<b>Items to be taken forward to next Corporation Meeting:</b> There were no items to take forward.	
3.13	<b>Date and Time of Next Meeting</b> (i) Scheduled meeting is on Monday 10 June 2019 at 10.00	
	<b>Meeting Closure</b> The meeting closed at 11.57	
	MINUTES of the meeting held on <b>Wednesday 13 March 2019</b> were agreed and accepted as a true and accurate record and signed by the Chair  ..... on .....	