

Audit Committee

Draft Minutes

Meeting reference: Audit2016-17/03
Date and time: Tuesday 14 March 2017 at 5.30pm
Location: Room 033

Members present: Ian Jackson, Brian Crichton, Ann Irvine, Lindsey McLeod

In attendance: Margaret Munckton (Principal)
Jackie Mackenzie (Vice Principal, Finance and Estates)
Pam Wilson, (Vice Principal, Academic)

Stuart Inglis (Henderson Loggie)

Apologies: Grant Myles, David Littlejohn, Lorna Nicoll, Susan Bald

Chair: Ian Jackson
Minute Taker: Carolyn Sweeney-Wilson
Quorum: 3

Summary of Action Items			
Ref	Action	Responsibility	Time Line
7.2	Health & Safety Risk Management Profile – 6 month review <ul style="list-style-type: none">• SB to move Asbestos, Fire and Electricity risks from critical down to high.• SB to ask the Health and Safety Committee to review the statutory items, with a view to ensuring that the College was complying with statutory regulations. If it was, then the risks should be green; if it wasn't, then the risks should be red, unless there was a particular reason for them being amber. The Committee noted that while the risks were green, they could still have enhancement plans.	Susan Bald	Next H&S Committee Meeting
10.1	Health and Safety Committee Minutes 9 February 2017 <p>PW to discuss implication with PCSA around committee attendance and ensure this forms part of the handover process.</p>	Pam Wilson	23 May 2017

Minutes

Item	Action
<p data-bbox="135 208 715 253">1 Joint Welcome and Apologies</p> <p data-bbox="252 286 1102 331">Ian Jackson (IJ), Chair, welcomed members to the meeting.</p> <p data-bbox="252 365 576 409">Apologies were noted.</p> <p data-bbox="252 443 1174 544">IJ wished to record the Committee's thanks to Derek Forgan and Mike Baxter for all their work for the College and with this Committee.</p>	
<p data-bbox="135 577 628 622">2 Additions to the Agenda</p> <p data-bbox="252 656 341 701">None.</p>	
<p data-bbox="135 723 1094 768">3 Declaration of a Conflict of Interest in any Agenda Item</p> <p data-bbox="252 801 975 846">There were no declarations of a conflict of interest.</p>	
<p data-bbox="135 869 967 913">4 Minutes of Meeting Held on 30 November 2016</p> <p data-bbox="252 947 940 992">The minutes were approved as a correct record.</p>	
<p data-bbox="135 1014 844 1059">5 Matters Arising from Previous Minutes</p> <p data-bbox="252 1093 1107 1193">11.1 Date of Nursery Audit to be reviewed with a view to bringing it forward.</p> <p data-bbox="252 1227 1150 1373">Jackie Mackenzie (JM) reported that the Audit had been completed. Stuart Inglis (SI), Henderson Loggie, said the draft report had been finished and would be available at the next meeting.</p> <p data-bbox="252 1406 515 1451">Action complete.</p> <p data-bbox="252 1485 1150 1597">13 Provide more analysis and commentary behind the FOI late response times.</p> <p data-bbox="252 1630 887 1675">Action Update: This item is on the agenda.</p> <p data-bbox="252 1709 919 1753">Noted: All other actions have been completed.</p>	
<p data-bbox="135 1821 564 1865">6 Balanced Scorecard</p> <p data-bbox="252 1899 1166 1977">JM reviewed the paper and noted that the 2 measures to be considered by the Audit Committee were highlighted by the grey</p>	



background.

JM noted that although the Financial outturn for 2015-16 was slightly down from 2014-15 there was no cause for concern.

The Financial outturn for 2015-16 was green, as the College had achieved break even.

The Committee noted its thanks to the Finance Team for all their hard work and for steering the College to a break even position.

7 Risk Management

*7.1 Strategic Risk Register

JM presented the review of the Strategic Risk Register for the academic year 2016-17 and drew members' attention to the changes made (in red) to the Register and the emerging and updated issues.

Emerging and Updated Issues

1 RAM allocation for HE delivery: JM reported that there was a potential risk due to under recruitment of students, whereby any amount unallocated would be retained by UHI EO.

2 Finance Systems Convergence Project: JM advised that F&GP had agreed that the College would postpone its involvement in the project until the new system could be demonstrated to be fit for purpose and deliver the specified requirements agreed at the outset of the project. F&GP also agreed that the College would go ahead and upgrade Symmetry, the current finance system.

UHI Common Risks

JM indicated that at a recent UHI Risk Workshop there was a discussion around identifying and agreeing a number of common risks for inclusion in each partner's own institutional register.

The majority of these were already on the College's Risk Register, albeit some of the wording was slightly different and there were 2 risks that were not on the College's Risk Register:

- Disruption to services/projects and/or partnership working resulting from loss of a key staff member.
- Non-compliance with EU's new General Data Protection Regulation (GDPR).

Brian Crichton (BC) expressed concern about whether or not partners would have the same understanding of the meaning of the wording for these risks. There was some discussion as to



how consensus across the partnership could be reached and it was suggested that there could be some benchmarking across the partners regarding the meanings.

Emerging reputational risk: MM reported that 2 Colleges – Moray and Lews Castle – were due an SFC Section 22 review for non-compliance in relation to funding issues. It was agreed that these risks would be noted on the College Risk Register and incorporate at the year-end review.

*7.2 **Health & Safety Risk Management Profile – 6 month review**

In the absence of Susan Bald (SB), it was unclear why the Asbestos risk was noted as 'critical' since the Committee had previously agreed it should be 'high'. BC said that the Committee had felt the impact of any asbestos related incident would be extremely high, however, the probability of it happening was low. The Committee agreed that the asbestos risk should be moved down from critical to high. It was also noted that fire and electricity were at critical and after a brief discussion it was agreed these too should move down to 'high'.

AP: SB to move Asbestos, Fire and Electricity risks from critical down to high.

SB

SI referred to the 'campus security' risk and noted there were still actions to progress on this. SI said he would be following this up in May.

Ann Irvine (AI) noted that some of the amber sections didn't have any plans for improving.

AP: SB to ask the Health and Safety Committee to review the statutory items, with a view to ensuring that the College was complying with statutory regulations. If it was, then the risks should be green; if it wasn't, then the risks should be red, unless there was a particular reason for them being amber. The Committee noted that while the risks were green, they could still have enhancement plans.

SB

8 **Internal Audit**

*8.1 **Internal Audit Plan Progress Report 2016-17**

SI presented a progress to-date report.

The Committee noted the report.

*8.2 **Internal Audit Report – Student Recruitment**

SI reviewed his report for the Committee.



The Committee noted the Management comments around the recommendations and welcomed the commitment to ongoing process review and refinement.

PW advised that there was a bigger issue coming soon, related to the Government looking at a UCAS-type system for FE recruitment. PW said that at the moment a student could apply to multiple different colleges and each College would not know where that student had applied to and so they could easily fall through the net. A UCAS-type system would make it easier to track student applications. PW advised that SI's report was going to the Curriculum and Business Planning meeting tomorrow, to review and see what were workable solutions.

The Committee noted the excellent results and commended the staff since the report was classed as 'good' – the top grade. AI said she could feel from the report that everyone was working together.

The Committee recorded its thanks and congratulations to the Auditor for a well-researched and well written report.

The Committee noted the report.

9 **Freedom of Information & Data Protection Report – Update**

MM had nothing further to add to this report other than to note that the Information Commissioner had reduced, from 15%-10%, those requests that were allowed to be late.

AI pointed out that if the number of FOI requests continue to increase, there would be a resource implication for this.

The Committee noted the report.

10 **Committee Minutes**

10.1 **Health and Safety Committee Minutes**

- **9 February 2017**

BC noted that there were no PCSA reps at the H&S Committee and in that case, he felt that the meeting should have been re-scheduled. PW advised that the implications of non-attendance at meetings was under review.

AP: PW to discuss implication with PCSA around committee attendance and ensure this forms part of the handover process.

PW



11 **Date and Time of next meeting:**

- 23 May 2017

12 **Review of Meeting**

Members agreed the meeting had been very well chaired and covered its remit.

Information recorded in College minutes and papers is subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.

Status of Papers **Open** **Closed**

An **open** item is one over which there would be no issues for the College in releasing the information to the public in response to a freedom of information request.

A **closed** item is one that contains information that could be withheld from release to the public because an exemption under the Freedom of Information (Scotland) Act 2002 applies.

The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1998.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1998? **Yes** **No**