



HARTPURY

AUDIT AND RISK MANAGEMENT COMMITTEES HARTPURY UNIVERSITY AND HARTPURY COLLEGE

Minutes 10am Tuesday 11th March 2025 Gordon Canning Room & Teams

Members

Lucie Hammond
Ian Robinson (Professor)

University Audit Committee

Present (Chair)
Present

College Audit Committee

Co-opted Member - Present
Present - Co-opted
Member)
Present - Co-opted
Member)
Present (Chair)
Present
Present

Robert Brooks

Present

Patrick Brooke
Barbara Buck
Mary Heslop

Co-opted Member - Present
Co-opted Member - Present
Co-opted Member - Present

In Attendance

Mick Axtell

Present (Chief Operating Officer)

Present (Chief Operating
Officer)

Gillian Steels

Present (Clerk to the Board)

Present (Clerk to the Board)

Nora Gilpin – Interim Head of Finance

Present Item 8

Present Item 8

Mike Collier (Doctor)

Present (TIAA)

Present (TIAA)

Hitesh Patel - Contracts & Procurement Manager

Present item 9

Present Item 9

Nikki Potter - Dir CI & DS & Matthew Reeve Head
of IT

Present Item 11

Present Item 11

Andy Collop (Professor)

Present (Vice-
Chancellor)

Present (Principal)

Jessica Taylor Dir. Marketing & Comms

Present Item 5.2

Present Item 5.2

Lesley Worsfold Deputy- Principal Resources

Present Item 5.3

Present Item 5.3

Neil Chatten Health & Safety Manager

Present Items 5.5 &
6

Present Items 5.5 & 6

		ACTION & DATE
ARM01/03/25	Welcome, Apologies & Confirmation of Quoracy Attendees were welcomed to the meeting. Apologies noted as above.	

		ACTION & DATE
	<p>It was noted that Matthew Williams had come to the end of his term of office. Thanks were formally recorded for his contribution to the Committees.</p> <p>It was confirmed that the University Audit and Risk Management Committee and the College Audit and Risk Management Committee meetings were quorate.</p>	
ARM02/03/25	<p>Declaration of Interest.</p> <p>The Clerk advised that members' interests would be taken as those disclosed in the Register of Members Interests.</p>	
ARM03/03/25	<p>Minutes of the Meetings – 12th November 2024</p> <p>The minutes of the University Audit and Risk Management Committee and the College Audit and Risk Management Committee 12th November 2024 meetings were APPROVED as true records.</p>	
ARM04/03/25	<p>Matters Arising</p> <p>The updated Action Log was noted.</p>	
ARM05/03/25	Internal Audit	
5.1	<p>Summary Internal Controls Assurance Report (SICA)</p> <p>The update on Audits completed since the last meeting was noted. It was confirmed that the General Ledger Audit was currently ongoing. It was noted that the Strategic Plan Audit had been cancelled given the ongoing work on the 2030 Strategy. It was confirmed this would be rescheduled when this work was complete. Management and TIAA were in discussion on timing or an alternative audit – this would be advised to the Committees. It was confirmed the Business Continuity Report had been finalised and was within the pack issued.</p>	COO June 25
	<p>It was highlighted that TIAA had made no Priority 1 or 2 recommendations (i.e. fundamental control issue on which action should be taken immediately) since the previous SICA and that TIAA had not been advised of any frauds or irregularities in the period since the last SICA report was issued. The briefing notes provided were NOTED.</p>	
	The SICA Report was NOTED.	
5.2	<p>Jessica Taylor Dir. Marketing & Comms joined the meeting 10.10am</p> <p>Assurance Review of Marketing – Substantive Assurance – No recommendations</p> <p>Key findings were:</p> <ul style="list-style-type: none"> Hartpury University and Hartpury College have a number of strategies and plans across the marketing areas which align with the vision and mission of the Hartpury 2030 Strategy. 	

		ACTION & DATE
	<ul style="list-style-type: none"> A number of software systems are in place to aid the marketing activities and monitoring undertaken including new customer relationship management software to monitor the end to end 'journey' from interest to enrolment. No Urgent, Important or Routine recommendations were made. 	
	<p>It was noted that the Audit had identified good practice and processes in place. Governors questioned why there were no formal KPIs for marketing. The Chief Operating Officer advised that a range of Marketing and Communication KPIs went to the Executive. Once the Board had considered the enabling strategies KPIs there would be a review of Board KPIs. It was recognised that current marketing KPIs related to inputs – visits to site etc, a mechanism for linking to applications was not yet in place.</p>	
	<p>Governors considered how alumni linked to the overall Hartpury plans. It was noted it was a relatively new team, and that Hartpury was relatively new as an Institution, so that alumni was at an early stage. It was confirmed an alumni database had been developed and was continually growing. It included alumni from when Hartpury was an agricultural college, although it was noted that the student cohort then was much smaller. It was agreed it was an important area of activity to build long-term relationships to the benefit of past students, the community and Hartpury. The Director of Marketing and Communications confirmed she was happy with the level of engagement to date. It was recognised there was work to do, recognising the role past students played as ambassadors for Hartpury. It was confirmed Hartpury had in place the structure to support future investment from alumni and other members of the community.</p>	
	<p>The Internal Audit of Marketing was NOTED. It was confirmed there were no recommendations to add to the Audit Recommendations Register.</p>	
	<p>Jessica Taylor Dir. Marketing & Comms left the meeting 10.15am</p> <p>Lesley Worsfold – Deputy Principal Resources joined the meeting 10.15am</p>	
5.3	<p>Compliance Review of HE Accommodation – UUK Code - Substantial Assurance – 1 routine recommendation</p> <p>Key Findings:</p> <ul style="list-style-type: none"> The review considered Hartpury University and Hartpury College's compliance with the Universities UK Code of Practice for the Management of Student Accommodation by completing the UUK Code Mandatory Elements of the Auditor's Checklist. The Licence Agreement and Residential Handbooks support compliance with the mandatory elements the Code. No Urgent or Important recommendations were made. 	
	<p>TIAA confirmed it was a very positive audit against a complex and wide-ranging checklist. A governor queried if there was much overlap</p>	

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	<p>between the Code and the Ofsted Residential inspection process. The Deputy Principal Resources advised that there were some similarities, for example in relation to fire and risk assessments. The information for both audits was held in a portal by the Residential Team. Governors were advised that the Code was just being significantly revised and when Hartpury was next reviewed it would be a substantially different checklist with more information required on sustainability (relating to student waste for example) and maintenance – timing to fix items etc.</p>	
	<p>It was confirmed that the recommendation made had already been put in place.</p> <p>It was confirmed that having been completed and reviewed by the Audit and Risk Management Committee that the Report would now be submitted to the UUK (confirmed actioned 11/03/25 post meeting).</p>	
	<p>Governors queried whether a robust maintenance programme was in place. It was confirmed that a programme was in place, but that the aim was now to move from a reactive to a planned programme. It was confirmed that residential maintenance was already prioritised for immediate action.</p> <p>Governors questioned whether Hartpury planned to install more automated sustainability measures, such as for lighting and showers. The Deputy Principal Resources advised timing on showers had already been put in place. It was noted that -rules on student food waste were going to be introduced.</p>	
	<p>Governors challenged whether the move to more self-catering for HE students meant that there was still the demand for Graze. It was confirmed that the FE students continued to be catered, and that Graze continued to be busy, particularly in peak periods of breakfast and lunch. It was noted that the building also contained classrooms which were in busy use.</p>	
	<p>Governors asked for clarification on personal use electric items. They were advised that there was a list of prohibited items which students were not allowed to use. These items would be removed if used. The list was kept under ongoing review. Governors asked for further information on the “deposit” process. They were advised that universities were exempt from the private landlord requirements, but that Hartpury held the deposit distinctly on the student record system. It was noted if significant damage occurred, which was rare, that students were separately invoiced for this.</p> <p>Governors asked about the Residential induction – it was confirmed this was mandatory, and that there were regular updates over the year.</p> <p>Governors asked about the insurance cover and were advised this covered the basic equipment for students, but they were advised to take out separate insurance for expensive items.</p>	

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	The Compliance Review of HE Accommodation – UUK Code was NOTED. It was confirmed the recommendation would be added to the Audit Recommendations Register for completeness – noting it had already been completed.	
	10.32 Lesley Worsfold – Deputy Principal Resources left the meeting	
5.4	FE Records – confirmed no significant issues – Substantial Assurance with one routine recommendation. As discussed above it was confirmed this report would be issued outside the meeting (action complete 17/03/25).	
	10.35 Neil Chatten Health & Safety Manager joined the meeting.	
5.5	Business Continuity Audit – Limited Assurance – 6 important and 3 routine audit recommendations.	
	It was noted there had been further work on the report since the last meeting and further evidence provided and the priorities revisited. There had been a number of training sessions with managers on the BCP. Confidential Item – Commercial Sensitivity A governor asked if KPIs were to be developed for the Business Continuity Plan. He was advised that once the plan was up to date this would be further considered.	
	It was suggested it would be helpful to have an Annual Business Continuity Plan Report – it was confirmed this would be considered further and the Committees updated.	COO H&S Manager June 25
	The Business Continuity Audit was NOTED. It was confirmed the actions would be added to the Audit Recommendations Report.	
ARM06/03/25	Health & Safety Annual Report	
	The Health and Safety Manager advised that the format was in line with previous years. He drew governors' attention to key aspects within the report. He outlined the Health and Safety RAG ratings included in the report. He advised that the RAG Rating relating to Risk Assessments was lower than previously reflecting further work done over the year. He advised this was an ongoing process as systems and practices changed over time. He confirmed there was good understanding of the risk assessment process. He reflected on the campus security, noting that as it was an open campus that there was always an element of risk. He advised there was an ongoing group reviewing the impact of CCTV and any areas it might additionally be required. He confirmed that the lighting in the equine car park had been improved. A governor commented that this had been flagged to him within his link activity with the SU. It was confirmed post meeting that the new lighting was in place and was working. The Health and Safety Manager advised that this was an area with a bat run and therefore lighting needed to be sensitive to the other users of the	

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	campus. It was noted that some lighting required planning permission which was unlikely to be granted due to the rural nature of the campus.	
	The Committees reflected on the information on workplace stress and Hartpury's responsibilities concerning this. The Health and Safety Manager advised he had recently undertaken some training on stress Management for Managers with Hartpury's Managers Forum. It was recognised that Hartpury had good wellbeing support in place, but that workplace stress was another issue. The Health and Safety Manager advised he worked with HR when this was reported as an absence issue. The importance of working to re-integrate people into work swiftly was highlighted.	
	The Health and Safety Manager highlighted the responsibilities on Hartpury in relation to terrorism, noting that the planned mass alert system which was being introduced would help with this. Work on the CCTV network and car PRN systems would also support this work. It was recognised there was a need to be aware of security as a rural campus, although recognising that this was probably lower risk than an urban campus. It was noted that for large events, such as the Horse Trials, a PA system was in place to support clear communication if necessary. It was noted that staff were trained in line with national guidance to run, hide, tell.	
	<p>The Health and Safety Manager highlighted the ongoing review relating to pedestrian use of the campus. It was noted that a wider pedestrianisation of some areas was being considered.</p> <p>Governors queried the position in relation to Radon which had been discussed at the last report. The Health and Safety Manager advised that following the re-issuing of the national radon map Hartpury had undertaken a review and identified one office which was a potential area of concern if a member of staff were to work there for a long period of years on a daily basis. No staff were considered to be in this position but staff who had used the room had been briefed and simple precautions put in place.</p>	
	The Health and Safety Manager advised he was continuing to promote the reporting of "near misses".	
	<p>Governors thanked the Health and Safety Manager for his comprehensive report which they considered demonstrated encouraging progression.</p> <p>The Committees NOTED the Annual Health and Safety Report. 11.30am The Health and Safety Manager left the meeting</p>	
	11.30am The Head of Finance joined the meeting	
ARM08/03/25	<p>Audit Recommendations Follow Up Update</p> <p>The Committee considered the update which detailed progress on the recommendations. It was noted these were complete or in progress. It</p>	

		ACTION & DATE
	was noted that a Working Group had been set up to consider the Financial Regulations.	
	<p>The College and University A&RM Committees NOTED the Audit Recommendations Update Report.</p> <p>11.40am The Head of Finance left the meeting</p> <p>11.40am The Contracts & Procurement Manager joined the meeting</p>	
ARM09/03/25	<p>Procurement Compliance</p> <p>The Contracts & Procurement Manager presented the Procurement Compliance Report.</p> <p>The Contracts & Procurement Manager queried if there were any changes in reporting the Committees would find useful. It was noted that SFR saw spend against projects and that the A&RMCs remit was compliance. It was agreed it would be useful if the threshold information was provided. It was confirmed all procurement had been compliant with the regulations.</p> <p>The Chief Operating Officer advised that the Contracts & Procurement Manager was also undertaking contracts management of large contracts and providing training to budget holders on this.</p> <p>The College and University A&RM Committees NOTED the Procurement Compliance Report.</p> <p>11.50am The Contracts & Procurement Manager left the meeting</p>	C&M Manager June 25
ARM07/03/25	Risk Management Update	
7.1	<p>Review Risk Register</p> <p>The report provided ARMC with a summary of the changes to the Risk Register since the last meeting. It provided ARMC the opportunity to review both the outcome of the Risk Management Process and the robustness and breadth of coverage of Risk Management. It was noted that the Risk Register was in the new format agreed at the November meeting. Members noted some challenges in reading across the longer format. It was confirmed there would be a discussion on Risk Appetite at the Awaydays. It was noted that for ease the Risk Appetite had been introduced as medium across all risks and this was now being reviewed on an ongoing basis.</p> <p>The Risk Register had been reviewed and updated following the latest Risk Management Group meeting and continual reviews by each operational area of their local risk registers. It was noted that consideration was being given to how to effectively embed sustainability into the register by relating short to medium impact, in line with the rest of the register, and then to comment on the longer term in the text. It was confirmed consideration was being given to removing risk 2.11.1 IT due to changes elsewhere on the register. The Risk Appetite was noted. It was confirmed that the Risk</p>	

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	<p>Appetite for laboratory storage of dangerous chemicals and theft of radioactive materials would be changed to low. It was confirmed that as the Risk Management Group worked further through the Risk Appetite proposals from the Board that issues where the residual risk was above the Risk Appetite level would be addressed. It was agreed it would be helpful to have a more nuanced risk appetite statement.</p> <p>The latest version (available on the Governors website) had been discussed at the Exec meeting.</p> <p>It was confirmed that the Key Risks for Governors to consider were the Strategic Risks, but that they were provided with the full register for completeness.</p> <p>The Risk Update was NOTED and ENDORSED.</p>	
ARM10/03/25	<p>Value for Money Annual Report</p> <p>It was noted that the annual Value for Money report reviewed the progress to date on the delivery of the Value for Money Strategy set in September 2020 and considered the Value for Money (VFM) reporting in the annual report and financial statements of the University for 2023/24.</p> <p>It was recognised that Hartpury receives a substantial proportion of its funds from public sources and that Hartpury seeks to achieve value for money (VFM) from all its activities, however they may be funded. Hartpury's strategy was to embed value for money as part of our ongoing business processes and decisions. The Value for Money Strategy explained how Hartpury plans to demonstrate to those to whom it is accountable that it is economic, efficient and effective in its use of resources.</p> <p>It was noted the format was in line with previous years. It was noted it reflected the 2025 Strategy and would be revised to reflect the 2030 Strategy.</p> <p>It was noted that the Contracts and Procurement Manager supported achievement of the Strategy.</p> <p>Governors reflected on the costing model highlighted. This had been discussed at SFR. It was agreed a briefing on it would be incorporated in the March Board. It was noted that TRAC also provided assurance on costing. It was noted the Hartpury Transformation Programme also reflected value for money activity. It was confirmed staff had been briefed on this and Hartpury's financial position at the recent staff briefings. Governors queried how the responsibilities for the College in relation to Managing Public Money needed to be reflected. It was noted that Hartpury's structure meant that many of the aspects were activities undertaken by the University, but it was confirmed management were mindful of these responsibilities.</p>	

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	<p>Governors queried the use of consortia as part of achieving value for money. It was confirmed this had been Hartpury's practice for a number of years. As governors were aware it had recently been used for the first time for utilities.</p> <p>The College and University A&RM Committees NOTED the Value for Money – Annual Report 2023/24.</p>	
ARM11/03/25	– Confidential Item - Commercial Sensitivity – 5 years.	
ARM12/03/25	<p>Fraud Update*</p> <p>The Fraud Update briefing was noted.</p> <p>It was noted that the insurers could also support Hartpury in this area.</p> <p>The Vice-Chancellor and Principal and Chief Operating Officer and TIAA left the meeting</p>	
ARM13/03/25	<p>Committee without Management or Auditors</p> <p>Governors were pleased to note the good working relationships in place between the Hartpury management.</p>	
ARM14/03/25	<p>Any Other Business</p> <p>None</p>	

The meeting closed at 12.40pm