



**Minutes of the Audit and Risk Committee meeting held on 24<sup>th</sup> June 2020 at 4.00pm  
via Microsoft teams**

<b>Trustee name</b>	<b>Initials</b>	A = absence
Mr Ian Storey –(Chair) Trustee	IS	
Mr Mike Quigley- Trustee	MQ	
Mr Peter Mabbott - Trustee	PM	Joined at 4.27pm
Mr Tim Hill – Co-opted	TH	
Mrs Pat Bryn-Jones – Co-opted	PBJ	A
Mr Geoff Gadie – Co-opted	GG	

In attendance: [staff or other invited persons]

<b>Staff name</b>	<b>Initials</b>	<b>Role</b>	A = Absence
Dave Cotton	DC	Chief Executive Officer	
Karen Bonser	KB	Senior Business Leader	
Gary Corban	GC	Chief Operating Officer	
Patrick Clark	PC	Internal Audit, ICCA	
Jenni Harrison Hill	JHH	Clerk	

<b>Item No</b>	<b>Item</b>	<b>Action/ by whom/when</b>
Agenda item 1 <b>ARC/61/1920</b>	<b>Apologies for absence</b> Apologies for absence were received from P Bryn-Jones	
Agenda item 2 <b>ARC/62/1920</b>	<b>Declaration of interest and any changes to be advised</b> There were no declarations of interest, either direct or indirect, for any items of business on the agenda. The chair asked if anyone had any declarations to update. Trustees confirmed that the declarations given at the beginning of the academic year were correct.	
Agenda item 3 <b>ARC/63/1920</b>	<b>Minutes of the meeting dated</b> <ul style="list-style-type: none"> <li>• Audit &amp; Risk Committee 31<sup>st</sup> March 2020</li> <li>• Extraordinary Audit and Risk Committee 3rd June 2020</li> <li>• Extraordinary Audit and Risk Committee 10th June 2020</li> </ul> The minutes of these meetings, having previously been received, were agreed.	
Agenda item 4 <b>ARC/64/1920</b>	<b>Matters arising</b> <b><i>ARC/03/19/20 – Further exploration of introducing software to record staff reading policies</i></b> <b>Action:</b> Item to be carried forward to future meeting due to Covid-19.	<b>JHH</b>

	<p><b>ARC/06/19/20 – Review of Academies Financial Handbook</b> for new areas of scrutiny and recommend committees for overview -update  An update was provided in Document 1: <i>Summary of Academy Financial Handbook Compliance report</i> distributed prior to the meeting.  <b>Trustee Question:</b> Timelines of when actions will be taken are required.  <b>Action:</b> Timelines to be added to updated report for next meeting.</p> <p><b>ARC/07/19/20 4.(ii)- Procurement, Value for Money, Best Value 29/20 full report – progress report</b>  <i>Confirmation Procurement role fully addressed in Financial procedures manual</i>  Document 2: <i>ICCA Audit Follow up from 18-19 audits</i> was distributed prior to the meeting, providing updates on audit management responses. No questions were raised from Trustees.</p> <p><b>ARC/08/19/20 – Education &amp; Skills Funding Agency correspondence review of Trust Accounting Officers roles and responsibilities - analysis of requirement for Internal Scrutiny</b>  This is reported under agenda item 12.</p> <p><b>ARC/17/19/20 5.1 Risk register report – Retford Post 16 PFI risk rating – update on how plan to fund PFI charge</b>  A plan is in place but is limited due to Lockdown.  <b>Action:</b> Further details will be reported at next Full Audit and Risk Committee meeting.  <b>Trustee Question:</b> What is the timescale for the full costs being attributable to the Trust?  Response: Academic year 2021/22</p> <p><b>ARC/20/19/20 5.4 training including Trustee risk software training</b>  <b>Action:</b> Trustee’s review of the risk assessment process, and associated training, is planned for Autumn Term 2020.</p> <p><b>ARC/21/19/20 6.2 IT Security – update on disaster recovery and governance items from previous audit</b>  Document 3: <i>ICT and Disaster Recovery Update from Internal Audit</i> was distributed prior to the meeting.  Two items from previous audit remain outstanding.  <b>Trustee Question:</b> Dates are required for completion.  <b>Action:</b> G Corban will follow up to ensure plan is completed. Update on disaster recovery plan will be sent to Clerk for distribution.</p> <p><b>ARC/24/19/20 6.5 External opportunities to provide Internal Audit – update on ICCA renewal and/or collective MAT projects</b></p>	<p>KB</p> <p>GC/KB</p> <p>KB</p> <p>GC</p>
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	<p><b>Action:</b> Item to be carried forward to future meeting due to Covid-19.</p> <p><b>ARC/27/1920 Review claims/complaints – Exception reporting for the committee on high impact issues, and trend reporting.</b> Reported under agenda item 13.</p> <p><b>ARC/31/1920 2020/2021 Internal Audit Themes – K Bonser to prepare draft audit plan for review at next committee.</b> Reported under agenda item 8.</p> <p>Matters Arising from previous Meetings:</p> <p><b>Extraordinary Audit and Risk Committee 3<sup>rd</sup> June 2020- ARC/36/1920</b> <i>When clear guidance is issued (for Black, Asian, and Minority Ethnic groups) to be picked up in the risk assessments</i> Risk Assessment and Extraordinary meetings of Audit and Risk Committee will follow this up.</p> <p><b>Extraordinary Audit and Risk Committee 10th June ARC/43/1920</b> <i>Three rolling dates on the report of gradings was required and cumulative column was not required.</i> Extraordinary meetings of Audit and Risk Committee have discussed this item.</p> <p><b>ARC/44/1920</b> <i>A risk matrix measuring consequence against the likelihood which would make the ratings clear.</i> This will be picked up in the Trustees’ review of the risk assessment process.</p>	JHH
<p>Agenda item 5 <b>ARC/65/1920</b></p>	<p><b>Covid-19 Risk Assessment Update</b> Document: <i>Covid 19 Audit and Risk Committee Risk Assessment Planning and Monitoring Report 24 June 2020</i> had been distributed to the committee prior to the meeting and was also shared on screen. The document was discussed and reviewed by the committee.</p> <p><b>Primary summary</b> Year 1 pupils have returned successfully. Next week is the planned return of Reception pupils.</p> <p><b>Trustee Question:</b> What are the plans for transition days for year 6 pupils moving to secondary? Response: Plans are being formulated this week for support to be provided towards end of term for transition.</p> <p><b>Trustee Question:</b> Are there plans to reduce the social distancing measure in line with recent announcements? Response: The focus will be on planning for September and transition rather than reducing social distancing this term (see further below)</p> <p><b>Trustee Question:</b> What is the difference between the number of pupils/students that could be back and actual numbers? And for staff? Response: Figures are available and can be provided with a commentary of how eligible has been defined.</p>	

Human Resources have data for staff and can provide a report.

**Action:** Report for Full Board.

DC

Covid-19 absence is available for Trustees on the data dashboard, 90% of staff are still available for work against normal typical level of absence 95% at any one time.

**Action:** Link to Covid-19 absence section of dashboard to be sent to Trustees.

GC

**Trustees agreed recommendation** for continued proposals for Primary pupils and to not extending to Nursery due to space limitations. All agreed.

### **Secondary summary**

Second week has gone well with no major concerns. Planning is now taking place for September.

**Trustee Question:** Has any further news arisen from the pupil who was sent home with symptoms?

Response: Awaiting test results.

**Trustee Question:** If test results are positive what is the plan of action?

Response: It was explained that there is a minimum set protocol, with members of the relevant 'bubble' being sent home to self-isolate. There is also a requirement to assess the circumstances of each case for any further action, for example the closure of a certain section of the site or the whole school site, dependant on any mixing beyond the bubble. Template letters have been generated and are ready to be issued if results are positive.

**Trustees agreed recommendation** for continued proposals for Secondary. All agreed.

### **Special Schools Summary**

Confidence is resuming in closer support work e.g. physiotherapy, additional training has been given to ensure staff are competent and managing medical needs.

Transport is still experiencing some issues, but improvements are being made. High risks are still in place due to some children's understanding of covid-19, as discussed in the meeting on 17 June. Planning is now taking place for longer term return of more vulnerable pupils.

**Trustee Question:** The document [*Covid 19 Audit and Risk Committee Risk Assessment Planning and Monitoring Report 24 June 2020*] refers to longer term return of students being dependent upon staff?

Response: This is due to some staff shielding.

**Trustees agreed recommendation** to continue with current plans for special schools. Noted that there is still a high risk as above, but mitigation is in place.

Social distancing announcements have suggested reduction from 2 metres to 1 metre plus. The executive team are requesting approval from Trustees to continue with 2 metres in all settings until the end of the summer term. Once more guidance is issued the management strategy will be revised over the summer for implementation in September.

P Mabbott joined the meeting at 4.27pm

<p><b>ARC/66/1920</b></p>	<p><b>Trustee Question:</b> What are the staffing implications for the planning work if guidance comes out during summer?  <b>Response:</b> Time has been allocated during the last week of term and summer break to this task.  <b>Trustees agreed to recommend</b> maintaining the current social distancing at 2 metres and plan for September to reduce once guidance is issued. All agreed.</p> <ul style="list-style-type: none"> <li>• <b>Recommendations to Full Board</b></li> <li>- <b>Trustees agreed recommendation</b> for continued proposals for primary and to not extending to nursery due to space limitations. All agreed.</li> <li>- <b>Trustees agreed recommendation</b> for continued proposals for Secondary. All agreed.</li> <li>- <b>Trustees agreed recommendation</b> to continue with current plans for special schools.</li> <li>- <b>Trustees agreed to recommend</b> maintaining the current social distancing at 2 metres and plan for September to reduce once guidance is issued. All agreed.</li> </ul>	
<p>Agenda item 6  <b>ARC/67/1920</b></p>	<p>Risk Management Summary</p> <p><b>6.1 New risks including coronavirus</b>  Document 4: <i>DAT High Risk Report for A&amp;R Committee 24.06.20</i> was distributed prior to the meeting.  The document summarises the number of risks for each academy.  <b>Trustee Question:</b> There are a number of academies with no high risks is this correct?  <b>Response:</b> This report is the summary, work carried out to this point entailed leadership teams working on risk registers to put controls and mitigations in place, then grading on likelihood and impact.  <b>Trustees Question:</b> Trustees need to understand the process that feeds into this report, to have a clear understanding of the layers which sit below the information provided, and to assure themselves that a consistent approach is being followed by academies to produce the eventual risk report.  <b>Response:</b> Discussion is needed on what the high risks across the organisation are and how they are managed. Ensuring that Trustees are able to constantly review even if controls are good.  <b>Action:</b> Trustees' review of the risk assessment process, and associated training, will be set up.  <b>Action:</b> Consideration of how risks are presented to the committee.</p> <p><b>6.2 Risk Register Audit</b>  The audit is usually carried out during the summer term, and the requirement is to be on site, due to Covid-19 this is currently on hold. KB is meeting with risk register managers to integrate covid-19 risk assessment into risk registers going forward, given that it impacts across a range of risks  <b>Trustee Question:</b> How often is the risk register updated and audited?</p>	<p><b>KB  KB/GC</b></p>

	<p>Response: It is updated regularly and then audited within the software which date stamps the register. Risk managers regularly challenge the academy on gradings and ensure reviews are carried out on time, reporting back to Leadership Teams.</p> <p>Quality Assurance is carried out and KB checks this process; The Risk Register Audit is a discussion item on the Leadership agenda.</p> <p><b>6.3 Risk Register Report</b> This item was discussed in 6.1</p> <p><b>6.4 Training including Trustee risk software training</b> This item was discussed in 6.1</p>	
<p>Agenda item 7 <b>ARC/68/1920</b></p>	<p>Review of Internal Audits</p> <p><b>6.1 Attendance</b> An audit was carried out on attendance by ICCA which was given substantial assurance. New attendance recording practices have been put in place by the DfE due to covid-19 lockdown, work has been carried out to ensure these have been implemented.</p> <p><b>6.2 ICT Security</b> This item has already been discussed in item 4 under <i>ARC/21/1920 6.2 IT Security</i>.</p> <p><b>6.3 Educational Visits Audits</b> The internal audit was due in the summer term, this has been put on hold due to Covid-19 resulting in trips being cancelled. Work has been ongoing centrally to deal with claims for refunding parents for cancelled trips. Currently awaiting guidance from DfE concerning trips next academic year.</p> <p><b>6.4 Safeguarding</b> The majority of the internal safeguarding audits had been completed prior to lockdown, those still outstanding will be picked up once able to resume on site.</p> <p><b>6.5 External opportunities to provide Internal Audit</b> Due to Covid-19 this has been put on hold.</p>	
<p>Agenda item 8 <b>ARC/69/1920</b></p>	<p><b>External and Internal Audit Plans approval for 2020/2021</b> Document 5 <i>20-21 Audit Strategy and Planning</i> was distributed prior to the meeting. The above document was shared on screen and discussed by the committee. The Trust has come to the end of a three-year programme with ICCA and the proposal is to continue for another year. ICCA Internal audit themes have been developed through Audit and Risk and Accounting Officer meetings. <b>Trustee Question:</b> What are the number of days associated with the internal audit and is this enough? Response: P Clark will draw up the scope of required days dependant on the themes, but currently looks to be the same as last year which was 24 days. Internal scrutiny is carried out by both internal staff and ICCA.</p>	

	<p><b>Trustee Question:</b> How do we know the right level to pitch the programme of internal audit? Response: The assessed high-risk themes dictate the need/level of scrutiny.</p> <p><b>Trustee Question:</b> Are the themes listed in priority order? Response: Themes are in priority order based on discussion from last Audit and Risk Committee and Accounting Officer meetings.</p> <p><b>Trustees agreed</b> with the Internal Audit themes and continuing with ICCA for internal scrutiny audits for another year.</p> <p>Internal Scrutiny carried out by Diverse Academies Trust staff was discussed. The two new themes are 1) Performance Management training &amp; Staff Development, to ensure all academies are getting the right level of consistent support and development and 2) Catering, due to new contractor.</p> <p><b>Trustee Question:</b> Are there criteria which dictate whether ICCA or Diverse Academies Trust staff carry out the scrutiny? And for the internal scrutiny carried out by Diverse Academies Trust are people auditing their 'own' areas? Response: If we found that systems were failing, or systems were not robust enough then would prioritise for ICCA to carry out scrutiny. As an example, the General Data Protection Regulation team are going into academies to ensure policies and procedures are being followed. For the previous two years this has been carried out by ICCA so we have confidence in the assurance.</p> <p><b>Trustee Question:</b> How does the Health and Safety Audit by Local Authority differ to the audit by ICCA? Response: Local Authority is on a biannual basis to ensure the teaching element risk assessment is in place for example Design and Technology. ICCA scrutinise the internal process of health and safety site management and compliance.</p> <p><b>Trustee Question:</b> The role of the Local Academy Committees governance procedures has changed in the last year, is it appropriate to consider a review of this? <b>Trustees agreed</b> programme with question to Board if they require review of governance for academy committees. <b>Action:</b> Agenda item for next Full Board Meeting to discuss possible review of Local Academy Committees governance.</p>	JHH
<p>Agenda item 9 <b>ARC/70/1920</b></p>	<p><b>Safeguarding; Culture &amp; Compliance</b> Document 6: <i>Safeguarding at Hubs</i> was distributed prior to the meeting.</p> <p><b>Trustee Question:</b> How often does P Knight (Executive Assistant Principal, Safeguarding) present to Audit and Risk committee for safeguarding? Response: An update is given in the Autumn.</p> <p><b>Action:</b> Invite P Knight for next meeting in autumn term for update</p>	JHH
<p>Agenda item 10 <b>ARC/71/1920</b></p>	<p><b>Financial Year End Audit Report</b> The Financial Year Annual Report and Financial Statement Trustees section will be updated ready for approval from Trustees. The Audit and Risk Committee will check contents based on audit findings.</p>	





	<p>Response: Due to claims having previously been managed at academy level, currently only have 18 months' worth of data for whole trust. We have a potential claim register which we hold as part of our insurance policy.</p> <p><b>Trustee Question:</b> Have the insurance limits been changed to reflect potential personal injury claims?</p> <p>Response: The policy is Risk Protection Arrangement (RPA) with DfE which covers all claims.</p> <p>Trustees commented that the narratives were useful information to have.</p>	
<p>Agenda item 14 <b>ARC/76/1920</b></p>	<p><b>Policy Approval:</b></p> <ul style="list-style-type: none"> <li>• Mental Health and Wellbeing Principles (Covid-19 update) June 2020</li> </ul> <p><b>Trustees approved</b> the policy update. All agreed.</p>	
<p>Agenda item 15 <b>ARC/77/1920</b></p>	<p><b>Issues referred to/from Board</b></p> <p>The chair confirmed that recommendations for Covid-19 (agenda item 5) will reported to the Extraordinary Full board meeting held on Wednesday 24<sup>th</sup> June.</p> <p>Remaining aspects will be reported to the Full Board meeting on 15<sup>th</sup> July.</p>	
<p>Agenda item 16 <b>ARC/78/1920</b></p>	<p><b>Complete committee report for exception reporting to the Board</b></p> <p>As per item 15.</p>	
<p>Agenda Item 17 <b>ARC/79/1920</b></p>	<p><b>Determination of confidentiality of business</b> <b>Equality Act consideration</b> <b>Nolan Principles</b></p> <p>Trustees considered whether anything discussed during the meeting should be deemed as confidential. It was resolved:</p> <ul style="list-style-type: none"> <li>- That no confidential information had been discussed but document 8B Claims narrative would remain confidential to the attendees.</li> <li>- There had been no Equality Act implications</li> <li>- Attendees were content that all decisions made adhere to the seven Nolan principles.</li> </ul>	
<p>Agenda Item 18 <b>ARC/80/1920</b></p>	<p><b>Date and time of next meeting:</b> Wednesday 1<sup>st</sup> July 2020 at 4.00pm</p>	
	<p>The meeting closed at 5.42pm</p> <p>Signed.....(chair) Date.....</p>	