



**Minutes of the Audit and Risk Committee meeting held on 12 July 2021
at 10:30am via Microsoft Teams**

Trustee name	Initials	A = absence
Mr I Storey –(Chair) Trustee	IS	
Mr M Quigley- Trustee	MQ	Left at 11:53
Mr P Mabbott - Trustee	PM	

In attendance: [staff or other invited persons]

Staff name	Initials	Role	A = Absence
Mrs K Bonser	KB	Executive Business Leader	
Mr D Cotton	DC	Chief Executive Officer & Accounting Officer	Joined at 10:39
Mr G Corban	GC	Chief Operations Officer	
Mrs R Harvey	RH	Executive Business Leader	Left at 11:18 re-joined at 12:02
Mr J Creed	JC	ICCA	
Mrs S Chambers	SC	Cooper Parry	
Mr A Jones	AJ	Cooper Parry	
Jenni Harrison Hill	JHH	Clerk to Board of Trustees	

Item No	Item	Action/ by who/when
Agenda item 1 ARC/93/2021	Apologies for absence No apologies for absence were received. The committee were informed that Mr Cotton was held up in a meeting and would be joining shortly, Mr Quigley had an emergency appointment and would have to leave at 11:50, and Mrs Harvey had a meeting which she had to leave for at 11:20 but subsequently re-joined the meeting at 12:02.	
Agenda item 2 ARC/94/2021	Declaration of interest and any changes to be advised 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.	

<p>Agenda item 3</p> <p>ARC/95/2021</p>	<p>Introductions were made due to new internal auditors joining the meeting.</p> <p>Reports from ICCA (included in the AO report) Document: <i>Audit Updates for Audit and Risk Committee July 2021</i> was previously received by the committee.</p> <p>Mr Creed discussed the document, which was also shared on the screen, explaining that it is a summary of recommendations and actions from internal audits completed by both ICCA and internal staff for 19/20 and 20/21. ICCA is currently in the process of completing their follow up review report which will be issued shortly. The Audit updates report had been RAG rated with current status of actions for 20/21.</p> <ul style="list-style-type: none"> - Key Financial Controls 20/21 are in progress for the current year. - Governance 20/21 internal audit is rated amber as ongoing monitoring of attendance required and review of effectiveness reports are to be finalised in the Autumn term 2021. - Safeguarding Trust DSL to provide feedback to committee In Autumn term on progress of actions. <p>Mr Cotton joined the meeting at 10:39</p> <p>Actions from 19/20 Internal audits:</p> <ul style="list-style-type: none"> - Alternative Provisions rating remains amber due to Alternative Provision policy not yet in place and quality assurance on provision has not yet been completed due to Covid restrictions. - Attendance Officer roles had been impacted by Covid and a review will take place in the Autumn term. - Cyber security – Roles and responsibilities for management of cyber security need to be formally recorded in job descriptions. - Disaster recovery planning- stills needs review regarding the new Academy Trust Handbook and inclusions regarding business continuity. - Value for money required some clarification of contradictory requirements, these have been resolved. - Staff expenditure recommendations responses are no longer current as now an internal audit is being carried out by staff, update on findings will be brought back to the committee. <p>Mrs Bonser informed the committee that Cooper Parry, the incoming internal Auditors for 2021/2022, will be following up all amber and red rated actions during the Autumn term. The Chair acknowledged that this would be Mr Creed's last meeting with the committee as Internal Auditor and recognised the support and help provided by ICCA over the years for independent scrutiny.</p> <p>Mr Creed left meeting at 10:49</p>	
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	<p>Mr Jones and Mrs Chambers of Cooper Parry summarised briefly how they intend to work with the committee as the newly appointed Internal Auditors.</p> <p>It was clarified that Mrs Bonser will be co-ordinating, on behalf of the trust, internal and external auditor's work, reviewing reports and ensuring updates.</p> <p>Mrs Harvey and Mr Corban will be co-ordinating the operational side of audit and risk.</p>	
<p>Agenda item 4 ARC/96/2021</p>	<p>External and Internal Audit Plans approval for 2021/22</p> <p>Document: <i>Audit Planning Sept 2021 – Aug 2022 (Appendix 3)</i> was previously received by the committee.</p> <p>The document was shared on the screen.</p> <p>Following a trustee querying the inclusion criteria it was confirmed that some are annual requirements, and some are from priorities raised by the committee and executives, with allocation split between Cooper Parry and Internal staff as detailed in the report.</p> <p>The committee agreed the internal audit plan.</p> <p>Mrs Chambers and Mr Jones left the meeting at 11:01</p>	
<p>Agenda item 5 ARC/97/2021</p>	<p>Minutes of the meeting dated 28 April 2021.</p> <p>The minutes of the meeting, having previously been received were agreed by the chair.</p>	
<p>Agenda item 6 ARC/98/2021</p>	<p>Matters arising (see table on page 8)</p> <p>In addition to the updates detailed in the matter arising discussions detailed in the table on page 8 and 9 , Trustees also raised an incident involving an intruder onto an academy site, and reactions on social media. Mr Corban assured the committee that lockdown plans, and risk plans were instigated and effective, with swift communication to parents. As a follow up to such an incident a review of procedures and actions adopted is undertaken. Trustees raised concern of the requirement to be made aware of incidents and challenging risk procedures in place.</p> <p>Action: External communication for incidents to be an agenda item for Academy Committees and Audit and Risk Committee next academic year to report how communication will be dealt with for incidents.</p>	GC
<p>Agenda item 7 ARC/99/2021</p>	<p>Internal Audit tender Update</p> <p>Following the tender process Cooper Parry were appointed as internal auditors commencing September 2021 for 2 years with an option to extend on an annual basis if agreeable to both parties.</p>	
<p>Agenda item 8 ARC/100/2021</p>	<p>Accounting officer report</p> <p>Document: <i>Accounting Officer Report July 2021</i> was previously received by the committee.</p> <p>The above document was shared on the screen. Mrs Bonser checked that all committee members had received and read the report. Briefly summarising the contents of the report which covered:</p>	

ARC/101/2021	<ul style="list-style-type: none"> - <u>Accounting Office Management group</u> <p>No changes were made to the composition of this group and the report detailed attendees and meetings.</p>	KB
ARC/102/2021	<ul style="list-style-type: none"> - <u>External & Internal Audit Plan</u> <p>Key Financial Control Audits are due to be completed by ICCA.</p>	
ARC/103/2021	<ul style="list-style-type: none"> - <u>Internal Scrutiny</u> <p>ICCA will begin preparation for the report this term with the final report being presented to the committee at the committee meeting on 13 October 2021.</p>	
ARC/204/2021	<ul style="list-style-type: none"> - <u>Diverse Academies Compliance and Assurance reviews</u> <ul style="list-style-type: none"> o Document: Appendices 1 and 2 were previously received by the committee. <p>The committee discussed the risk register audit table (page 3 of Accounting Officer report), which shows the risk gradings for each academy and a table of more detailed information on specific high risks and trust wide risks. Following the discussion trustees raised concern regarding causes of the four academies with an overall rating of low assurance, Mrs Bonser explained that Tuxford Academy, East Leak Academy and Holgate Academy are due to the management of risk management strategy and academy integration across the areas. Management of the risk register is lacking work since the last audit regarding actions that were raised previously, those actions, whilst previously were not low assurance, as no action has been taken have now progressed to low assurance. Leadership, management, and operational management of risk integration is required in these academies. The Holgate sixth Form low assurance again is related to management integration at local level and requires ensuring that everyone who works, and attends are working to the management risk strategy, this includes Minster Trust, more integration is required, this is also managed by Holgate Academy.</p> <p>Trustees queried if the issues would be reviewed and reported ready for the meeting in October, Mrs Bonser assured the committee a progress review would be carried out in September and reported in October.</p> <p>Action: Detailed report on progress of risk management for academies with low assurances at committee meeting on Wednesday 13 October 2021.</p> <p>Mr Cotton added the executive team and staff will be integrating these issues in meetings, so progress is timely, providing ongoing support and ensuring greater levels of assurance.</p> <p>Trustees referred to Catering Audit Appendix 2 and asked if key performance indicators in the contract are being breached and at what stage action will be taken against them if they fail to adhere to the contract, Mrs Bonser confirmed that communication has been a driving issue regarding the low assurances of the audit, support is being provided by the operational team and the estates team to help improve communication between caterers and the academy. A review of progress will be carried out in September.</p>	

ARC/205/2021	<ul style="list-style-type: none"> - <u>Nottinghamshire County Council Health and Safety Audits</u> <p>The committee were informed of the additional 20 days support procured from Nottinghamshire County Council Health and Safety, and the report details how this time will be effectively used.</p>	
ARC/206/2021	<ul style="list-style-type: none"> - <u>External Audit</u> <p>Sarah Flear has been invited to the Audit and Risk Committee in October to discuss cross working with Internal Audit and Audit and Risk Committee.</p>	
ARC/207/2021	<ul style="list-style-type: none"> - <u>Internal Audit</u> <ul style="list-style-type: none"> o Document: Appendix 3 was previously received by the committee <p>The committee approved the Internal Audit plan.</p>	
ARC/208/2021	<ul style="list-style-type: none"> - <u>Safeguarding</u> <ul style="list-style-type: none"> o Document: Appendix 4 was previously received by the committee. <p>Patrick Knight will be invited to present at the October meeting to update on the follow up to the Safeguarding audit.</p>	
ARC/209/2021	<ul style="list-style-type: none"> - <u>Risk Management including Health and Safety.</u> <ul style="list-style-type: none"> o Document: Appendices 5 and 6 were previously received by the committee. <p>Trustees commented on the Covid influence shown on the dashboard of core risks across the trust and questioned if the differences between some academies rating as amber and others red for the same core risk was a genuine difference or an inconsistency in scoring, Mrs Bonser explained that there would be an element of both within scoring as for example for premises different sites would have different issues, and the priorities which staff place on these issues would vary according to the context, more details are provided in the table of specific academy high risks.</p> <p>Trustees remarked the presentation of the Dashboard of Core Risks with arrows and the actions and monitoring are useful for comparing movement since the last report.</p> <p>Following Mr Corbans discussion on Appendix 6 Corporate Risk register trustees welcomed the report focusing on top level objectives at a strategic level of trust wide risks.</p> <p>Mr Corban explained that over the course of the following year reporting against the framework for corporate risks will be carried out and brought back to the committee for inputting into the risk register for monitoring.</p> <p>Trustees asked for a full corporate risk register to be brought back to the committee meeting on 13 October 2021 for updates.</p> <p>Action: Corporate Risk Register to be brought back to the committee 13 October 2021.</p>	
ARC/210/2021	<ul style="list-style-type: none"> - <u>Covid 19 Management</u> <ul style="list-style-type: none"> o Document: Appendix 7 was previously received by the committee <p>Mr Cotton updated the committee that a number of academies have Covid outbreaks, meetings are taking place with Nottinghamshire Department for Public Health for advice and guidance, the committee were informed that it was likely that the incident management plan</p>	GC

<p>ARC/211/2021</p> <p>ARC/212/2021</p> <p>ARC/213/2021</p> <p>ARC/214/2021</p> <p>ARC/215/2021</p> <p>ARC/216/2021</p> <p>ARC/217/2021</p> <p>ARC/218/2021</p>	<p>may require implementing for East Leake Academy, Mr Cotton will keep the Chair of the Board updated.</p> <p>Following Mr Cottons update trustees questioned if bubbles were being kept until the end of term following the government announcement on restrictions and were assured that bubbles would remain with some cross over due to building work being carried out, but careful management is in place. Trustees further questioned if staff capacity had been considered for planning during the holiday should restrictions be announced to change again in September, and Mr Cotton confirmed that planning is already underway should this scenario arise, with controls put in place, onsite testing in September has been organised.</p> <p>Trustees confirmed that should assistance be required they are available to be contacted.</p> <p>Mr Quigley left meeting at 11:51.</p> <p>Mrs Bonser informed the committee following trustees asking for clarification of when the Covid 19 reporting would reconvene after the break, confirming the report would be at the end of September to allow embedding and monitoring of the procedures during the first weeks back after the summer holiday.</p> <ul style="list-style-type: none"> - <u>Financial Management</u> <p>Details of high value invoices authorised by the Chief Executive officer and expenses claimed were detailed in the report.</p> <ul style="list-style-type: none"> - <u>Fraud, Regularity, Whistleblowing, Impropriety and Bribery</u> <p>It was reported that There have been no reports of fraud, impropriety, bribery, or whistleblowing.</p> <ul style="list-style-type: none"> - <u>GDPR</u> <ul style="list-style-type: none"> o Document: Appendix 1 was previously received by the committee. <p>The Chair apprised the committee that he meets with the Head of Governance to discuss the GDPR document in detail.</p> <ul style="list-style-type: none"> - <u>Policies</u> <p>The Accounting officer report details the policies previously approved since the last report.</p> <ul style="list-style-type: none"> - <u>Cyber Security</u> <p>No incidents of breaches of cyber security were reported within the trust.</p> <ul style="list-style-type: none"> - <u>Serious Incidents</u> <p>There were no serious incidents to report.</p> <ul style="list-style-type: none"> - <u>External Correspondence</u> <p>There were no outstanding returns to DfE or EFSA to report.</p> <ul style="list-style-type: none"> - <u>Claims and Complaints</u> <ul style="list-style-type: none"> o Documents: Appendices 8, 8.1 and 8.2 were previously received by the committee <p>Trustees approved the Claims Management Procedure July 2021.</p>	
<p>Agenda item 9</p> <p>ARC/219/2021</p>	<p>Policy approval</p> <ul style="list-style-type: none"> - Covid 19 appendix to the Safeguarding and Child Protection Policy - Policy Approval procedure - Single Equality policy 	

	<ul style="list-style-type: none"> - Premises Management Policy - Educational Visits Policy - Online Safety Policy (new) <p>Trustees having previously received the policies and summary of changes approved the six policies listed above.</p>	
Agenda item 10 ARC/220/2021	<p>Issues referred to the Board.</p> <ul style="list-style-type: none"> - No issues had been received or referred to the board. 	
Agenda item 11 ARC/221/2021	<p>Exception reporting to the board</p> <ul style="list-style-type: none"> - Appointment of internal auditors commencing September 2021 for 2 years with an option to extend on an annual basis if agreeable to both parties. - Internal audit plan agreed. 	
Agenda item 12 ARC/222/2021	<p>Determination of confidentiality of business Equality Act consideration Nolan Principles</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"> - That no confidential information had been discussed - There had been no Equality Act implications - Attendees were content that all decisions made adhere to the seven Nolan principles. 	
Agenda item 13 ARC/223/2021	<p>Date and time of next meeting: Wednesday 13 October 4.30pm via Microsoft teams</p> <p>The Chair thanked Mrs Bonser for her invaluable contribution to the work of the committee. Her support, professionalism, skill and diligence had been critical to the effective operation of the committee, and the Chair wished her all the best in the future.</p>	
	<p>The meeting closed at 12:11</p> <p>Signed.....(chair) Date.....</p>	

Matters Arising:
Matters Arising (Action Log)

Minute reference	Meeting date raised	Action required	Owner	Date due	Status	Comments/progress
ARC/16/2021	04/11/2020	Action: QEA non-compliance for health and safety progress will be reported at audit and risk meeting on 24/02/2021	K Bonser	Feb-21	In Progress	<p>Nothing further to report - due to testing workload - moved to sending reports out we 5.2. Related to issues with estates team and site condition.</p> <p>Action 24/02/2021: H&S Progress report for QEA is due this half term and will be brought to next A&R meeting, Mrs Bonser assured the committee that progress is being made. Update 28/04/2021 : The reports have gone to academies for reporting and actions update, with extra technical support now in academies to move them on quicker for H&S. Meetings have been held with the Local Authority team to put a business case in for 20 extra days per year to bring staff up to speed through more rigorous checks to ensure meeting audit actions and requirements and ensuring looking at key themes.</p> <p>QEA have until end of May to report back actions and updates to the report it is expected that in the June meeting this should be finalised.</p> <p>The committee were updated that the Trust have procured 20 extra days from the Local Authority Health and safety to work with the academies.</p> <p>Trustees asked if the allocation of extra days will be issued by the trust, and it was confirmed that it would be used in October and November.</p> <p>Trustees queried if a report was available for QEA progress and Mrs Harvey confirmed that significant progress had been made regarding Health and safety, and a report would be provided at the committee meeting on the 13 October 2021.</p> <p>ARC/98.1/2021 Action: QEA H&S progress report agenda item 13 October 2021. A DfE Health and Safety audit has been undertaken and the report will be available for the October meeting.</p> <p>Mr Corban updated the committee that Business Managers had been informed to ensure they make first time checks where appropriate; the next step will be to check if in practice this is being carried out. Action: Mrs K Bonser to check being carried out. Status changed to In progress.</p>
ARC/36/2021	24/02/2021	Action: Mr Corban to implement through Business Managers the practice of providing identification for first time visits.	G Corban	Mar-21	In Progress	<p>Mrs Harvey confirmed that audits for visitors had been carried out and good practice was being evidence in every academy.</p> <p>This item is now complete.</p>
ARC/36/2021	24/02/2021	Action: It was agreed for Mrs Bonser to feedback to the committee through the year updates on recommendations from internal audit reports.	K Bonser		In Progress	<p>Mrs Bonser informed the committee that reports will be brought back to the committee in June.</p> <p>This item has been covered in agenda item 3. This item is now complete.</p>
ARC/38/2021	24/02/2021	Compliance and Assurance reviews: Action: Evaluate the impact of staff development carried out online.	K Bonser	Apr-21	Requires review	<p>Mrs Bonser informed the committee that currently working through the structure of the Institute, re-evaluating roles, once this work is completed will continue to evaluate impact of staff development. Training that has taken place can be reviewed on BlueSky to assess impact. Action: K Bonser to report to be</p>

						brought back on value and impact on training carried out across the year at next A&R
						This item is has not been carried out due to the structure of TVSA and institute being merged, to create Association of Diverse Professional Learning (DAPL). Discussion are ongoing regarding remit of the DAPL. Status: In progress. <i>Report has just been released and will report back in June, no concerns raised on the report. Status moved to in progress.</i>
ARC/39/2021	24/02/2021	Action: Hillocks Primary Academy Health and safety update report to be reported at A&R committee meeting on 28th April 2021	K Bonser	Apr-21	In Progress	Another audit is programmed to look at progress, Status: In progress. <i>In Progress- formatting has been partially changed.</i>
ARC/51/2021	24/02/2021	Action: Formatting of claims report to show status of claims.	K Bonser	Apr-21	In Progress	In report, formatting has been part of change still waiting changes to dashboard, in progress.
ARC/67/2021	28/04/2021	Action: Agree Internal Audit Programme 2021/22	K Bonser	Jun-21	Requires review	This item was agreed under agenda item 4. Status: Complete.
ARC/68/2021	28/04/2021	Action: Covid 19 update report end of May and end of June.	K Bonser	Jun-21	Requires review	Report distributed (see agenda item 8) Status: Complete.
ARC/71/2021	28/04/2021	Action: Mrs Bonser to provide update about progress of risk management actions from audits completed in Spring 2021 for next meeting.	K Bonser	Jun-21	Requires review	Reported Distributed (see agenda item 8) Status: Complete
ARC/77/2021	28/04/2021	Action: Mrs Bonser to bring central corporate risks report to the next committee meeting in June.	K Bonser	Jun-21	Requires review	Report in progress (see agenda item 8) Status: In progress
ARC/86/2021	28/04/2021	Action: Mr Corban will report back on Single Equality Policy and request Head of Human resources to provide an update on changes.	G Corban	Jun-21	In Progress	Policy has been amended and approved (see agenda item 9) Status: Complete
ARC/89/2021	28/04/2021	Action: Invite Sarah Flear to Audit and Risk Committee 16 June. JHH to create invite, GC to discuss content with Sarah Flear.	G Corban	Jun-21	Complete	S Flear unable to attend June meeting, and invited to October Meeting. Status: Complete