

Audit and Risk Committee (ARC)

10am Wednesday 16th June 2021 via Zoom

Attendees: Andrew Majury (Chair), Simon Jarvis (CEO), Paul Edwards (Finance Director), Richard Foster (Audit and Risk Committee Member), Muir Laurie (Audit and Risk Committee Member),

Present: Kate Thomlinson (Clerk)

Meeting opened 10am

1. Standing Items

Apologies: Joanne Smithson (Trustee), Alan Poole (Director of Operations)

Declarations of Interests not previously declared: No further interests declared

Safeguarding: None

Approval of Minutes: 27th April 2021 Minutes approved

Matters Arising:

- PE/KT to document Business Continuity Plans and update Disaster Recovery Plans within the next year – **ongoing**
- PE to advise ARC of the details of the £517 write-off – **relates to a hire of the hall and dining room Sept 2019.**
- PE to formulate timeline to enable market testing for external auditors for approval at June ARC – **see item 2.**
- AP to prepare a paper for June ARC reporting on the assessments of risk across the Trust – **see item 3.**

2. Audit

2.1 Internal and External Auditors Appointment

PE proposed that the contract for internal audit is put out to tender in spring 2022 with a view to the new internal auditor starting in September 2022 under a three year contract.

With regards to external audit, it was proposed that the tender process will start September 2022, with a view to starting January 2023.

The committee noted that there were no issues with the current internal or external auditors but that it is good practice to review auditors to ensure effective oversight.

Committee Action: ARC approved the timeline for replacement of auditors.

Action: *KT to invite Lisa Rhodes, Head of Finance to attend next Audit and Risk Committee, 17th November 2021.*

2.2 Internal Audit Progress

The Census and Learner Records Audit is complete at both SFCF and Tomlinscote, however, only the SFCF report has been received. SFCF report was substantial assurance.

The IT Security Audit is currently taking place as is the Governance Audit.

It was proposed that the Audit of Capital Procurement is delayed until September 2021, due to the delay in the CIF bid announcement. It was proposed that the Follow-Up Audit (Estates, Health and Safety, Finance) is also delayed to September 2021, due to staff shortages in the Trust Executive Team.

It was noted that the internal programme has slipped and will run into the start of the new academic year. However, this will be corrected when the internal contract is renewed.

Committee Action: ARC noted the progress of internal audit.

Action: *KT to forward Internal Audit Reports to ARC as soon as they become available.*

3. Risk Register

Improvements to the Risk Framework were welcomed by ARC, notably the change in the coding system. It was suggested that 'trend' could be changed to 'direction of travel' to enable the Board to further understand risk within the Trust. It was also suggested that risk monitoring may move from being spreadsheet based to specialist software which would enable roll out of risk monitoring across the Trust. Risk management will form part of the internal audit plan when the new internal audit contract has been awarded.

The potential risks created by the delay in the announcement of the CIF bids was discussed.

Committee Action: ARC approved the Proposed Risk Framework.

Action: *PE/AP to forward the Risk Register as soon as it is available. If this cannot be completed imminently, PE to provide a position statement.*

4. Annual Monitoring

4.1 Health and Safety

PE gave an update on H&S in the Trust. H&S will be the subject of a Core Service Review in the winter term.

The recent traffic accident outside Ravenscote School involving a Tomlinscote pupil was raised. The excellent response of Tomlinscote in offering support to the families involved, staff and students was noted. The traffic situation at all three academies is well recognised as an ongoing issue. The Trust has offered to fund signs to slow traffic and would like to engage with Surrey CC regarding road safety.

Committee Action: ARC noted the current Health and Safety situation at the Trust

Action: *RF to contact SCC to discuss the traffic issues following the recent accident.*

4.2 GDPR

PE gave an update regarding GDPR compliance across the Trust. It was noted that the GDPR training programme had been negatively impacted by COVID. There have been no major GDPR incidents.

Committee Action: ARC noted the current GDPR situation at the Trust

Action: *PE/AP to investigate introduction of photographs to email addresses to help ensure emails are sent to the correct recipient.*

4.3 Freedom of Information

PE informed the Committee that all FOI requests have been met where they meet the statutory criteria.

Committee Action: ARC noted the current FOI situation at the Trust

5. Calendar

It is the intention that, when possible, future ARC meetings will be held in person at either Tomlinscote School or Frimley Regus.

10am, Wednesday 17th November 2021

10am, Wednesday 15th December 2021

10am, Wednesday 27th April 2022

10am, Wednesday 15th June 2022

6. AOB

The Chair asked for feedback on the meetings. The general sentiment was that meetings are well run, the information provided is useful and transparent. The introduction of ARC has been extremely beneficial to the Trust.

Meeting closed: 11.25am