

Audit and Risk Committee (ARC)

10am Wednesday 17th November 2021 via Zoom

Attendees: Andrew Majury (Chair), Richard Foster (Audit and Risk Committee Member), Muir Laurie (Audit and Risk Committee Member), Joanne Smithson (Trustee), Simon Jarvis (CEO), Paul Edwards (COO), Alan Poole (Director of Operations)

Present: Daniel Canham (Mazaars), Kate Thomlinson (Governance Professional)

Meeting opened 10am

1. Standing Items

Apologies: None

Declarations of Interests not previously declared: No further interests declared

Approval of Minutes: 16th June 2021 Minutes approved

Matters Arising:

- KT to invite Lisa Rhodes, Head of Finance to attend next Audit and Risk Committee, 17th November 2021. ***Due to a diary clash with this meeting, Lisa will attend in December***
- KT to forward Internal Audit Reports to ARC as soon as they become available. ***Ongoing***
- 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. ***Completed***
- RF to contact SCC to discuss the traffic issues following the traffic accident outside Ravenscote involving a Tomlinscote pupil. ***SJ raised this with SCC and discussion around traffic flow continue. Tomlinscote and Ravenscote have realigned finish times to ease congestion.***
- PE/AP to investigate introduction of photographs to email addresses to help ensure emails are sent to the correct recipient. PE/AP to investigate introduction of photographs to email addresses to help ensure emails are sent to the correct recipient. ***This will be completed as part of the wider IT project to standardise systems.***

2. Audit

2.1 Internal Audit Reports

DC presented the following reports to ARC noting that Payroll and Follow-up are not ready yet.

a) Cyber Security Report

All recommendations from the cyber security audit report were agreed and noted.

b) Learner Numbers

The importance of carrying out a Learner Numbers audit every year was noted.

c) School Census

Again, the importance of an annual audit of this area was noted.

d) Governance

ARC raised concerns regarding the number of outstanding statutory policies. AP has recently taken responsibility for this area and is working to standardise policies across the Trust through a centralised approach. Concerns of succession planning and equality and diversity in governance was also raised. Both these issues will be looked at by the Board in the New Year. It was noted that during 2020/21 ARC was created, vastly improving TPT governance.

Committee Action: ARC noted the issues arising from the internal audit reports

Action: KT to forward Payroll and Follow Up reports on receipt from Mazaars.

2.2 Internal Audit Planning

DC updated ARC on the internal audit plan. Safeguarding was due to be audited but because Ofsted have recently inspected safeguarding it was decided that the time be dedicated to ICT. The internal audit plan will be formally presented at the next ARC, 15th December 2021.

Committee Action: ARC noted the verbal update on the internal audit plan

2.3 External Audit

PE updated ARC on the progress on the external audit process which will complete around the end of November. With regards to the Anti-Fraud Questionnaire, it was noted that while there is a Gifts and Hospitality Policy there is no Anti-Fraud Policy. Staff confirm declaration of business interests via the Staff Code of Conduct which is completed annually.

Committee Action: ARC noted the updated internal audit plan

Committee Action: ARC noted the Anti-Fraud Questionnaire and Regulatory Self-Assessment are to be submitted to Buzzacotts imminently.

Action: KT to investigate developing an Anti-Fraud Policy

3. Risk Register

3.1 New, Emerging and Increased Risks

The user-friendly format of the Risk Register was welcomed by ARC. It was noted that the report was up-to-date as at end of October and did not include the risks arising from the ICT discussion. AP is looking to set up Risk Registers in each Academy with the Academy SLTs completing the report in the same way that the Trust Exec complete the Trust Risk Register. The Academy Risks will then feed into the Trust Risk Register. ARC and Trust Board now need to determine the overall risk appetite within TPT.

Committee Action: ARC noted the risk summary

Action: AP/JS to discuss setting risk appetite

Action: AM/AP to take snapshot/summary of Risk Register to Trust Board, 21st December 2021

4. Calendar

10am, Wednesday 15th December 2021

10am, Wednesday 27th April 2022

10am, Wednesday 15th June 2022

5. AOB

Action: *KT to invite Gary Chapman (as well as Lisa Rhodes) to ARC 15th December 2021.*

Meeting closed: 11.20am