

**Minutes of the Audit & Risk Committee meeting held
on Tuesday 4 December 2018 at 5.0pm at Retford Post 16 Centre**

Membership			
A = absence	Governor name	initial	Academy
	Mr M Quigley (chair)	MQ	DAT Trustee & Retford Oaks Academy (ROA)
	Mrs K Mitford	KM	Chair National C of E Academy (NCEA)
A	Mr T Hill	TH	Tuxford Primary Academy (TPA)
A	Mrs P Bryn-Jones	PBJ	Retford Oaks Academy (ROA)
	Mr G Gadie	GG	Retford Oaks Academy (ROA)
A	Mr S Jones	SJ	DAT Trustee
A	Mr I Storey	IS	DAT Trustee
A	Mr P Mabbott	PM	DAT Trustee

In attendance:

A = absence	Staff/in attendance	Initial	
	Mrs A Elway	AKE	Company Secretary and Clerk
	Mr C Pickering	CBP	Chief Operating Officer
	Mr G Corban	GCO	Chief Operating Officer
	Mrs K Bonser	KBN	Business Development, Projects and Standards Manager
	Mrs A Younis	AY	Group Financial Controller
	Mrs Sarah Flear	SF	Smith Cooper
	Mrs Laura Hallam	LH	Smith Cooper
	Mr John Rolph	JR	DAT Trustee & Chair of DAT & DALP Board

Item No	Item	Action by who when
AC/16/1819	The agenda was taken out of order until the Auditors and Mr Rolph arrived Welcome from chair Mr Quigley welcomed attendees to the meeting.	
AC/17/1819	Apologies for absence Apologies for absence were received and approved from Mrs Bryn-Jones due to family commitments, Mr Hill due to work commitments and Mr Storey and Mr Mabbott due to another Trustee meeting. No apologies were received from Mr Jones.	
AC/18/1819	Declaration of interest and any changes made to existing declarations There were no declarations of interest, either direct or indirect, for any items of business on the agenda. There were no declarations to update.	
AC/19/1819	Minutes of the meeting held on 26 June 2018 The minutes of the meeting, having previously been received were agreed and signed by the chair.	

<p>AC/20/1819</p>	<p>Matters arising not on the agenda <i>AC/05/1819 Update on Safeguarding Reviews (attached)</i> Committee members had received the RAG rated overview of the recent safeguarding audits in each academy. Mrs Bonser advised that the Single Record Card (SCR) for Head Office is to be reviewed shortly and a report of the outcomes, best practice and areas for development for all sites will be given at the next meeting. Members were advised that all red areas have already been addressed and Mrs Bonser reported that the primaries had moved on significantly since the last review when they had just joined the Trust. Trustees received assurance that there were no compliance or culture issues to report and no significant issues had been found in any academy.</p> <p><i>AC/8/1819 /Levels of Authority document to F&R 10/12/18</i> Mr Corban advised this has been updated but will now be incorporated with a new Trust Scheme of Delegation which will be reviewed and agreed by the Board in the first instance. Members were advised that a copy for information will be circulated as soon as possible.</p> <p><i>AC/11/1819 Timeline for encryption of devices - Cyber Essentials Certificate</i> Members had received a copy of the recently awarded cyber assurance certificate and Mr Corban confirmed that the use of external hard drives will be restricted in all academies by Easter. Attendees recognised the significant steps taken during the past year and were advised that a further audit is being carried out on 17 December. The audit report will be received at the next meeting.</p> <p>In response to a question, Mr Quigley received confirmation that at that time 365 will be locked so that staff are unable to download from the server to their home devices.</p>	<p>KBN agenda 26/3/19</p> <p>AKE- ASAP</p> <p>IT audit report- agenda 26/3/18</p>
<p>AC/21/1819</p>	<p>AOMG (Accounting Officer Management Group) exception reporting - fraud related - health & safety - safeguarding issues to bring to committee's attention</p> <p>Mrs Bonser reminded members that they had received the agendas for the scheduled AOMG meetings which include the above. A&R will be able to test the robustness of this when reports are received. She confirmed there were no issues to advise the committee of.</p> <p>Reviewing the key issues on the risk register she advised: Funding – still an issue but the Retford Post 16 viability risk is reducing GDPR – remains a compliance risk in terms of fines that may be received in the event of a breach Apprenticeship Levy – Investigations are being made into the freedom to gift/donate up to 15% of the levy rather than it being clawed back by the government. It may be possible to gift this to primary academies so they can undertake apprenticeships. Other notable issues:</p>	

	<ul style="list-style-type: none"> - the AOMG receive a report detailing irregularities with the Management Accounts. The main issue is around POA's not being raised that are followed up with the individuals and a decrease in non-compliance has already been seen. - Overtime paid outside of budget allocation is being challenged - One potential irregularity for a purchase of software has been investigated. On this occasion no disciplinary action had been taken but the member of staff had been given a caution by Mr Pickering - A calendar of ESFA return dates and funding application opportunities has been created. <p>Mrs Flear, Mrs Hallam and Mr Rolph joined the meeting at 5.25pm</p>	
AC/22/1819	<p>Smith Cooper to present DAT Audited Accounts and Audit Findings report Confidential discussion</p>	
AC/23/1819	<p>Smith Cooper to present NCEAT Audited Accounts and Audit Findings Report Confidential discussion</p>	
AC/24/1819	<p>Date and time of next meeting: It was agreed that all meetings will start at 5pm and will be held at Retford Post 16 Centre Tuesday 26 March 2019 at 5pm Tuesday 25 June 2019 at 5pm</p>	
AC/25/1819	<p>Determination of confidentiality of business and Equality Act consideration Governors considered whether anything discussed during the meeting should be deemed as confidential and whether during their discussions any equal opportunities issues have arisen. It was Resolved That the two discussions within AC/22/1819 and AC/23/1819 should remain confidential to attendees.</p>	
	<p>The meeting closed at 6.08pm</p> <p>Signed.....(chair) Date.....</p>	