

**BOARD OF TRUSTEES – AUDIT AND RISK MANAGEMENT COMMITTEE**

**Minutes of the virtual meeting held on 8 February 2021 at 5pm**

**Present:** A Maltpress  
J Gazzard (Vice Chair)  
J Wakelam (Chair)

M Whittingham (observing)  
R Inman (part)

**In Attendance:** A Lynch, M+A Partners  
J Raffel, Group Director Finance  
S Gales, Board Secretary  
S Graham, Group HR Director  
S Jones, SAT Chief Financial Officer  
T Elkin, Clerk

**Apologies:** There were no apologies

Trustees confirmed that they had no conflicts of interest to declare in relation to the items of the agenda.

**Action**

**1 Apologies for Absence**  
There were no apologies.

**2 Minutes of the meeting held on 23 November 2020**  
The minutes of the meeting were agreed as a correct record, subject to the insertion of the 'Audited Accounts were presented in support of and discussed in conjunction with the Audit Findings Report in item 5' under item 4. Clerk

**3 Matters Arising from the meeting held on 23 November 2020**  
The matters arising from the meeting were summarised in the report and all actions reported had been completed or, where appropriate an update had been provided on progress elsewhere on the agenda.

**4 Internal Audit Recommendations Tracking Report**  
7 of the 11 recommendations are complete with 3 in progress (due for completion in March) and 1 partially complete (due for completion in late February).

The Committee discussed that following the extraordinary SAT Board meeting on 3 February 2021, where an additional risk was added to the Risk Register to consider the risks associated with the cancellation of the summer exams and the implementation of teacher assessed gradings; how the Committee can have assurance about the robustness and consistency of application of the Trust's processes and controls.

*RInman joined the meeting at 5.20pm.*

SJones to add the above risk to the risk register. Following the outcome of the DfE's consultation, the CEO to share report with the Committee to advise the Committee on the Trust's intended processes and controls, including timelines for monitoring. Following receipt of this report the Committee will decide how it wants to monitor this risk going forward. SJones  
CEO

**5 Internal Audit Action Plan Update**  
The Committee received a report from M+A Partners showing the terms of reference for the upcoming internal audits: a 2-day internal audit of Key Financial Controls in March 2021

and a 2-day internal audit of Procurement in April 2021, which will both be presented to the Committee at the next meeting (June 2021).

The Committee **approved** the terms of reference and plan of works for 2020/21. ALynch to prepare a proposed plan of works for 2021/22 for discussion at the next meeting (June 2021). ALynch

## **6 GDPR Update**

Since September 2020, there have been no data breaches (GDPR) nor any Subject Access Requests across the Trust.

Staff continue to be sent regular reminders about: keeping safe online and ensuring they take extra care handling data whilst working from home; and about the importance of reporting any data breaches using the online reporting system. Additionally, the HR team will issue an up-to-date version of the 'Do's and Don'ts Guide to handling data' to all staff in the spring term; and the HR team continue to identify and support/train staff who might require additional training on how to keep data safe and secure.

The Trust's DPO continues to support the evaluation of proposed new systems, ahead of their implementation, to ensure that our data remains safe and secure.

## **7 Risk Management Update**

There are currently **5 red**, **6 amber**, **2 yellow** and **4 green** risks on the register; including 2 new risks: R025 (amber) relating to ASFC Health and Safety and R026 (red) relating to the financial pressure resulting from costs associated with Covid-19 mitigation measures. The Committee also noted the action identified above (Agenda Item 4) relating to another new risk to be added to the register.

One risk has been removed from the register: R019 relating to failure to open ASFC – as ASFC is now open.

The Committee thanked the Executive for the new format of the risk register which gives greater information. JRaffel advised that the 'Level of Assurance' column is a work in progress; RInman commented that it might be worth a sub-division of this column to show where this assurance comes from – i.e. internally, externally, or otherwise.

The Committee asked if the risk descriptor box's width could be condensed to make the document easier to read. SJones

The Committee discussed R018 and noted that this risk has increased due to a mixture of factors contributing to this, including later application decisions, lack of opportunity for physical open events, under-recruitment at ASFC. The Committee noted that as ASFC is not yet fully staffed, it is possible to balance staffing appropriate to the size of the enrolled cohort; moreover, given future budgets set-aside budgets for upkeep maintenance rather than essential repairs; so there is scope for mitigation and control. SJones and JRaffel to consider with SET if the impact score of 9 is appropriate and for this risk to be further considered by the Committee at the next meeting (June 2021). SJones  
JRaffel  
Clerk

The Committee discussed R011 and queried whether the impact score of 11 is appropriate given the success of shared services and cohesion between the Trust and WSC to date, and agreed for this risk to be further considered by the Committee at the next meeting (June 2021). Clerk

## **8 Any other Business**

No items.

Meeting closed at 6.11 pm

**Date of next meeting**

- Monday 21 June 2021 at 5.00pm.

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