



**Meeting of the Audit and Risk Committee held on 20 June 2017 at
11.00 am at Outwood Grange Academy**

Present: Ralph Pickles, Director
 Sue Hague, Director
 Martyn Oliver, CEO and Director
 Ben Waterman, Finance Director
 Wayne Greenhoff, Project Accountant
 Katy Bradford, COO

In attendance: Amjad Ali, Client Manager, RSM

	Action By Date & Name
1. Quorum and Apologies	
No apologies were received.	
2. Declaration of Interests	
The following declarations of interest were formally noted: Sue Hague – Chair of Outwood Academy Foxhills Academy Council and governor Outwood Academy Newbold Academy Council Ralph Pickles – Chair of Outwood Academy Acklam Academy Council and Outwood Academy Bishopsgarth Academy Council	
3. Minutes of the Meeting held on 28 March 2017	
Resolved: That the minutes were agreed without amendment.	R Pickles
4. Matters Arising from the Minutes	
a) KB confirmed that she had procured 4Action and RSM to work with the Trust on the development of a risk management framework and that the initial scoping meeting had taken place. b) It was agreed that the skills audit summary of the Board Directors would be presented to the Board meeting on 3 July 2017.	KB

<p>c) It was confirmed that MO had directed all Principals to sign off the student census and BW confirmed that Finance Managers had been informed of this too.</p>	
<p>Resolved: a) That the collated results of the Board's skills audits be reported back to the Board meeting on 3 July 2017</p>	KB
<p>5. Internal Audit Progress Report 2016/17</p>	
<p>AA explained the audit progress report in full to the Directors.</p> <p>AA confirmed that the last audits were currently being completed and then the plan for 2016/17 would be complete.</p> <p>AA confirmed that the Performance Management audit had identified reasonable assurance but raised issues about the consistency of support staff performance management and the tracking of training needs identified by staff.</p> <p>AA explained that the Strategic Financial Planning audit had identified substantial assurance with no management actions.</p> <p>AA confirmed that it should be possible to issue the final 4 audit reports at the next meeting.</p> <p>RP stated that he was heartened by much of the Performance Management audit as many organisations he was aware of often struggled to comply with their own policy.</p> <p>KB agreed that the support staff performance management process needed to match the teachers' process and that there was excellent practice in Shafton that would be rolled out.</p> <p>MO explained that Transform Outwood would look to create career paths and expectations for staff across the Trust.</p> <p>RP challenged management on how outstanding teachers' practice was refreshed to ensure it stayed outstanding.</p> <p>MO explained that academies achieved record results year on year by ensuring that practice was updated and refreshed regularly. He explained that the senior leadership and Principal changes in academies, ensured a fresh perspective on a regular enough basis to challenge any stagnation. He also explained how the Y&H Maths Hub sought out the best practice internationally and he hoped to replicate this in other subjects.</p> <p>RP questioned whether there were career paths for support staff.</p> <p>KB explained that the Trust was launching Transforming Business Leaders in September as a route to Business Management for administration support staff and that the Trust would ensure it was at the forefront of any teaching</p>	

apprenticeship routes to provide a career path into teaching for classroom based support staff.	
Resolved: That going forward the Audit and Risk Committee receive the Executive Summary along with Appendix A and Appendix B to evidence the depth of the auditing process.	AA
6. RSM Turning Lights Green	
KB explained that this had been shared following Finance attending an RSM update meeting and she felt it was a useful document to review the terms of reference and practice of the Audit Committee. She guided the Committee to the checklists as a starting point. It was acknowledged that some elements of practice in the document sat with the Trust's Finance Committee. The Committee stated that they did not feel there was a need to meet without management present. It was agreed that the next meeting on the Committee on 7 November 2017 would be extended by an hour to review the document in more detail.	KB
Resolved: That the meeting on 7 November 2017 be extended to review the best practice guidance from RSM.	KB
7. External Audit Re Tender	
BW presented the paper and explained that he was seeking approval from the Committee to defer the re tendering of External Audit to Spring 2018. It was explained that External Audit normally met with the Finance Committee and, therefore, this committee managing the tender process would ensure segregation, with the appointment being made ultimately by Members. BW explained that he was seeking deferment to allow him to have completed a full audit cycle in the Trust and, therefore, have a full understanding of the tender requirements, and also the spring provided a 'natural pause' in external audit's work.	
Resolved: That the Committee approved the deferment of the re-tendering of External Audit until Spring 2018.	BW
8. Date and Time of the Next Meeting	
KB explained that there was a meeting with Internal Audit later that week to discuss the audit plan for 2017/18 and asked the Committee for any areas of key focus or particular risk that they would like internal audit to be directed to.	

<p>The following were suggested:</p> <ul style="list-style-type: none"> - Alternative Provision arrangements - Safeguarding (particularly focused on the curriculum and Prevent) - Behaviour interventions - Key Financial Controls (possibly looking at a larger sample size) - SEND <p>KB confirmed that the following dates had been circulated to the committee as proposed meetings in the 2017/18 academic year:</p> <p>Tuesday 7 November 2017 11 am and Outwood Grange Academy Tuesday 23 January 2018 11 am and Outwood Grange Academy Thursday 21 June 2018 11 am at Outwood Grange Academy</p>	
<p>Resolved: The dates for the following year were approved.</p>	

Signed: _____

Dated: _____