

East Midlands Academy Trust Audit & Risk committee

 Tuesday 6th July 2021 at 10.00am - Meeting to take place virtually via Microsoft Teams

Third meeting of academic year 2020/2021

These minutes reflect the order of the agenda, not necessarily the order of discussion

Agenda item	Discussion	Action
1. Welcome and introductions	<p>Present: Fiona Wheeler (Trustee) Andy Davis (Trustee) Asvin Morjaria (Trustee) - Chair Stephen Morales (Trustee)</p> <p>Joshua Coleman (CEO: EMAT) Paul Wheeler (COO: EMAT) Monica Juan (Head of Governance & Compliance) - minutes</p> <p>In attendance: Munya Mufukare - Management Accountant: EMAT Daryl Unitt – Head of Shared Services: EMAT Nattia Dhana - Finance Business Partner: EMAT Chris Rising - Internal Audit Director: Macintyre Hudson</p> <p>AM welcomed everyone to the meeting and reminded all of the need for confidentiality until the minutes were signed off.</p>	
2. Apologies	There were no apologies.	
3. Quorum	The clerk confirmed that the meeting was quorate.	
4. Declarations of interest	<p>The Chair called for any additional declarations of interest pertaining to this agenda not already recorded on the annual Register of Interests.</p> <p>No interests were declared</p>	
5. Minutes of A&R meeting held on the 20.04.2021, & matters arising not appearing on the Action Log	<p>The minutes of the meeting held on 20.04.2021 had been distributed with the agenda for this meeting and were agreed to be an accurate representation of the meeting.</p> <p>The Chair agreed to physically sign the minutes once lockdown restrictions had been lifted.</p>	
6. Action Log from the meeting on 20.04.2021	<ol style="list-style-type: none"> 1. Confirm I-Trent LMS functionality – PW explained that the trust had decided to engage with SAM system as they were better value for money - DONE 2. Produce internal audits progress report- DONE 3. Introduce a summary page in the RR identifying higher risks. - DONE 4. Liaise with Diverse Academies Trust to explore DATA presentation DONE 5. Amend SAR table to accommodate SAR types – DONE 6. EvolveNorth report to be presented at the December meeting.- DONE 	

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	<p>7. GDPR Audit to take place after EvolveNorth gap analysis. - DONE</p> <p>8. Provide access to Sentry training to trustees and governors - DONE</p> <p>9. Upload policies to website - DONE</p> <p>10. Report CIB Plan tests results once they have been conducted across all schools- ONGOING</p>	
7. COVID 19 update	<p><i>JC provided a verbal update</i></p> <p>JC reported that Public Health England had visited the NIA as they had been hit with several bubbles closing. They were satisfied with the mitigating measures put in place. A ventilation upgrade had been suggested so an air conditioning purge was being conducted every evening.</p> <p>In response to a question from a trustee regarding whether the organisation knew how many members of staff had been vaccinated JC explained that it would not be lawful to collect that information unless that it was enforced by the government.</p> <p>There was a general consensus that the government would release new guidance asking to test secondary students in schools from September 2021. JC explained that the intention was to follow the model implemented in the past as it had been very successful minimising the disruption of education. Trustees were satisfied that the approach taken by the executive so far had been effective.</p> <p>Trustees thanked JC for his report.</p>	
<p>8. Internal Audit Reports:</p> <ul style="list-style-type: none"> • Use of COVID Funding June 2021 	<p><i>The Internal Audit Report papers had been distributed with the agenda for this meeting.</i></p> <p>The Chair welcome CR to the meeting. CR presented the highlights of the internal audit.</p> <ul style="list-style-type: none"> • Use of COVID Funding: Very positive audit with no recommendations to make as part of the review. A separate cost centre had been set up to improve control, however the desired impact had not been fully achieved due to the delay caused by further lockdowns. <p>In response to a question from a trustee regarding whether the organisation was obliged to carry out the COVID audit PW explained that it had been done to provide assurances to trustees that the extra money received had been spent adequately.</p> <p>Trustees agreed that the report would be a good piece of evidence to show to DfE and Ofsted. Trustees thanked CR for his report.</p> <p><i>CR left the meeting at 10.30am</i></p>	<p>PW /CR to review actions on all internal reports and their impact.</p>

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9. Finance Update	<p><i>PW provided a verbal update</i></p> <p>PW reported that the organisation was in line to meet its financial forecast, with a current surplus around £348K. NIA had started to use its surplus and the rest of schools were working as expected. The team was working intensively to present the next year's budget and 5-year plan at the next FHRE meeting for approval. All allocated funding had been received and the claims submitted had been accepted.</p> <p>PW explained that EMAT was working on a School Mark pilot which would eventually provide recognition of standards withing education and finance. The pilot was being recognised by ESFA. Trustees agreed that to be at the vanguard of this initiative could only position the trust in a stronger place.</p> <p>Trustees thanked PW for his report. There were no questions from trustees.</p>	
10. Risk Register – Update	<p><i>The Risk Register had been distributed with the agenda for this meeting.</i></p> <p>MM summarised the highlights of the document and took questions from trustees.</p> <p>Trustees requested to see the COVID risk alongside the significant risks for each school and for the organisation 10 top risks table to be brought back for the November meeting.</p> <p>Trustees thanked MM for his comprehensive Risk Register report.</p> <p>PW confirmed that a new Academies Handbook had been released and ran through the main changes:.</p> <ul style="list-style-type: none"> • Wider regulation coming into academies • Accountability increasing dramatically • Power to intervene increasing for DfE/RSC • Potential implications around organisational growth <p>JC provided a HAT update. The RSC was still against a merge between both trusts. However, EMAT had demonstrated that it could provide support to other school(s) so the new scheme launched by the Secretary of State (try before you buy) could be use in the immediate future to continue working together, as the LA had confirmed that they didn't have any other alternatives for HAT. The budget presented to trustees for approval would include HAT in the calculations.</p> <p>Trustees discussed at length HAT and expressed concern at the current arrangements. Trustees also query whether HAT would become a more desirable partner to other trusts in the vicinity now that Ofsted had graded them GOOD. PW explained that the main problem with HAT was not the OFSTED rating but its engagement with the feeder primaries.</p>	<p>MM to add COVID and top 10 risks to next report.</p>

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	A HAT update was scheduled for the TB meeting where the arrangements moving forward would be discussed.	
11. GDPR - Action Plan Update	<p><i>The GDPR update report had been distributed with the agenda for this meeting.</i></p> <p>DU presented the report highlights:</p> <ul style="list-style-type: none"> • GDPR GAP analysis • GDPR activities • Training • DATA breaches • SARs requests <p>DU confirmed that there was work still to be done around policies and 3rd party supplier due diligence. EvolveNorth had been commissioned to comeback in the Autumn term and a report would be presented to trustees during the November meeting. Trustees agreed to invite the DPO to the next meeting.</p> <p>In response to a question from a trustee regarding whether compliance could be achieved by the end of the year DU confirmed that most systems were now embedded and therefore compliance could be achieved. The only pending system at the moment was HR but the process mapping was already in motion.</p> <p>Trustees were keen to instil that compliance should not be achieved at the risk of adopting the wrong measures. Trustees praised DU for his thorough report and agreed that the GDPR journey was progressing successfully towards compliance by the Autumn term.</p>	<p>Invite DPO to November meeting for presentation.</p>
12. Governance Review • Chair A&R report	<p><i>The Chair Report had been distributed with the agenda for this meeting.</i></p> <p>AM summarised the highlights of the report and informed trustees that although the current committee was operating reasonably well it could be improved by appointing an additional trustee with specific risk management expertise. Current trustees had broad valuable expertise which could be further improved with training.</p> <p>Trustees discussed at length whether the board already had the skills on board and agree to recruit a new trustee with Audit & Risk specialism.</p> <p>The committee thanked AM for his report and support during the year.</p>	<p>MJ to start recruitment process</p>
14. IFNM	<ul style="list-style-type: none"> • NIA risk update 	
15. AOB	There were no AOB	
16. DONM	<p>Dates for the academic year 2021/2022 have been set.</p> <ul style="list-style-type: none"> • Tuesday 23rd November 2021 @ 10am • Monday 4th April 2022 @ 10am • Friday 8th July 2022 @ 10am 	<p>Invites to meetings had been sent</p>

The meeting ended at 12.05pm

Action log of the Audit and Risk committee meeting held 06.07.2021

No.	Action	Owner
1.	Review of actions on all internal reports and their impact	PW/CR
2.	Add COVID and top 10 risks to next report	MM
3.	Invite DPO to attend next meeting	DU
4.	Recruit trustee with A&R specialism	MJ