

MINUTES

Audit and Risk Committee Meeting

Date: 20 November 2019

Venue: Sanctuary Buildings

Present: David Clarke (Chair)
James Norton (Member)
Dr Susan Tranter (Member)
Brian Tytherleigh (Member)
Owen Vallis (Member)

In attendance: Anne Longfield, Children's Commissioner
Haroon Chowdry, Director of Evidence
Alice Miles, Director of Policy and Strategy
Janette Threapleton, Head of Business Services
Jenny Wilcocks, Financial Controller
Colin Wilcox, NAO, Financial Director
Chris Porter, NAO Audit Principal
Nasim Clark, DfE Sponsor Team (by phone)
Andrew Senior, DfE Sponsor Team (by phone)

Apologies: Ashley Norman, TIAA, Director of Audit

Board

Secretariat: Karen Bryant

Summary of discussion	
1.	Welcome and Introductions
	The Chair welcomed members and attendees.
2.	Declaration of Interests
	None
3.	Draft Minutes of 20 October, Summary of Actions and Matters Arising
	The Minutes of the meeting on 02 October were approved. Action: None

4.	Children’s Commissioner’s Report
	<p>The Commissioner introduced her report highlighting key achievements in the period and outlining preparations for the 2020-21 business plan.</p> <p>It was reported that pre-election purdah restrictions were now in place with an impact on data gathering, media work and publication of reports.</p> <p>Action: None</p>
5.	NAO Audit Planning Process 2019-21 and Value for Money Audit Activity
	<p>Colin Wilcox confirmed that the external audit function carried out by the NAO, will be contracted out. Reassurance was provided that the level of professional standard would remain unchanged and that there would be no interruption to the scheduling of service delivery.</p> <p>The programme of NAO Value for Money (VfM) audits was circulated and the group was informed that general VfM reporting was on hold due to purdah.</p> <p>Action: None</p>
6.	Internal Audit Outstanding Recommendations, IA and IA Tender Process
	<p>Janette Threapleton provided an update on the outstanding audit recommendations. The three remaining actions relate to the information governance health check. Work is ongoing to close these and the Committee agreed to revise the implementation date to 31 December 2019 to allow time for this work to be completed.</p> <p>Janette Threapleton informed the Committee that the internal audit work will go out to tender in the new year in order to appoint an internal auditor with effect from 1 April 2020.</p> <p>Action: The Chair to be involved in the tender and selection process.</p>
7.	Budget and Management Accounts Update
	<p>Jenny Wilcocks introduced the management accounts and confirmed that spending was broadly on track for the year. Alice Miles advised that the increased resource had enabled more work to be undertaken in-house. The Committee reviewed and noted the management accounts.</p> <p>Action: None</p>
8.	Fraud Plan Implementation: Deep Dive into Higher Risk Areas
	<p>Jenny Wilcocks presented the Fraud Action Plan and confirmed that the review had identified no issues.</p> <p>Action: None</p>

9.	Framework Agreement
	<p>Nasim Clarke presented the latest version of the draft Framework Agreement between DfE and OCC. The Committee reviewed the document and provided feedback for inclusion in the next version.</p> <p>Action: The framework agreement to be revised to reflect member's feedback.</p>
10.	Strategic Risk Register and Assurance Framework Q2 Review
	<p>Janette Threapleton introduced the Strategic Risk Register. The Committee reviewed and discussed the register and noted the changes in the risk profile since their last review.</p> <p>Action: None</p>
11.	ARC Annual Programme
	<p>Janette Threapleton presented the ARC annual programme outlining proposed key areas of focus for the upcoming period. The Committee reviewed the planned schedule of activity and provided feedback.</p> <p>Action: None</p>
12.	AOB
	<p>The Committee noted the timeline for recruiting new Advisory Board members.</p>
	Actions: None
Future meeting dates	
	<ul style="list-style-type: none"> • Wednesday 20 May 2020 • Wednesday 1 July 2020 • Wednesday 23 September 2020 • Wednesday 25 November 2020 • Wednesday 24 February 2021