

MINUTES

Audit and Risk Committee Meeting

Date: 26 February 2020

Venue: Sanctuary Buildings

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

In attendance: Anne Longfield, Children's Commissioner
Haroon Chowdry, Director of Evidence
Jenny Wilcocks, Financial Controller (by phone)
Nasim Clark, DfE Sponsor Team (by phone)
Fran Oram, Director of Children's Social Care – DfE
Chris Porter, NAO Audit Principal
Stuart Frith, Senior Manager – Mazars
Karen Murray, Partner – Mazars
Ashley Norman, Head of Internal Audit OCC [TIAA]

Apologies: Alice Miles, Director of Policy and Strategy
Janette Threapleton, Head of Business Services
Brian Tytherleigh, Member

Board

Secretariat: Karen Bryant

Observer: Kathryn Ives, OCC Business Support Team

Summary of discussion	
1.	Welcome and Introductions
	The Chair welcomed members and attendees.
2.	Declaration of Interests
	OV – Shareholder and Director, Vallonia Limited ST – Appointment to Teacher Regulation Agency, Professional Conduct Panel (December 2019)
3.	Draft Minutes of 26 February, Summary of Actions and Matters Arising
	The Minutes of the meeting on 20 th November 2019, were approved. Action: None

4.	<p>Children's Commissioner's Report</p>
	<p>The Commissioner introduced her report highlighting key achievements in the period and outlined objectives for her final year in office.</p> <p>Action: None</p>
5.	<p>Business Plan and Budget 2020-21</p>
	<p>The Commissioner presented an overview of progress on the 2020-21 draft business plan currently in development, and set out her intent to take key issues identified her manifesto for children, forward.</p> <p>Action: AL To circulate the 2020-21 draft business plan to the group</p>
6.	<p>Succession Planning</p>
	<p>Fran Oram provided an overview of the recruitment process for Anne's successor.</p> <p>Action: FO To share the updated timetable and candidate information requirement</p>
7.	<p>Risk Management and Assurance Framework Q3 Review</p>
	<p>Haroon Chowdry introduced the Strategic Risk Register. The Committee reviewed and discussed the register, noting the changes in risk profile since their last review.</p> <p>James Norton discussed business continuity planning in response to the Coronavirus. This is being undertaken by OCC and will be added to the risk register.</p> <p>Actions: HC To continue development of the Coronavirus business continuity plan and update the risk register. JT To share feedback from the 2020 staff survey with ARC members</p>
8.	<p>Agreement of final accounts closure programme and Timetable for Governance Statement and Annual Report</p>
	<p>David Clarke proposed that the scheduled July meeting is brought forward in order to enable Members to review the final Annual Report and Accounts before sign-off by the Accounting Officer on 25th June.</p> <p>Action: KB To re-schedule the July ARC meeting</p>
9.	<p>Budget and Management Accounts</p>
	<p>The management accounts were reviewed and spending was confirmed to be within normal range.</p> <p>Action: None</p>

10.	External Audit: Audit Plan and Interim Audit
	<p>Stuart Frith presented the 2019-20 audit planning report, identifying income recognition and intangible assets as areas of audit focus.</p> <p>The Chair advised that there were no concerns or matters to be raised for the attention of the external auditor.</p> <p>Action: None</p>
11.	Internal Audit: IA Block 2 Review and Outstanding Recommendations
	<p>Ashley Norman presented an overview of the 2019-20 Block 2 audit report, which received substantial opinions in the following areas; Anti-fraud and Corruption, Governance Including Whistleblowing, Finance Health Check and Engagement Policy with Children.</p> <p>Three outstanding recommendations carried forward from the last review are now complete. DfE has provided assurances to Haroon Chowdry about its penetration testing, however written assurances that can be shared with ARC would still be beneficial.</p> <p>Action: HC to request written assurances from DfE IT Group in relation to the outcomes of its penetration tests.</p>
12.	New ARC Member recruitment
	<p>The group discussed the skill mix of ARC membership when two members step down in late 2020, and considered the background, qualities, skills and experience required of successors.</p> <p>Actions: None</p>
Future meeting dates	
	<ul style="list-style-type: none"> • Wednesday 20 May 2020 • Wednesday 18 June 2020 • Wednesday 23 September 2020 • Wednesday 25 November 2020 • Wednesday 24 February 2021