

Date:	23 February 2022	A
Item:	22/003	

MINUTES

Audit and Risk Committee Meeting

Date: Wednesday, 24 November 2021

Venue: Department for Education- Sanctuary Buildings

Present: David Clarke- Chair
James Norton- Member
Micon Metcalfe- Member
Richard Smith- Member
George Stylianides- Member

In attendance: Rachel de Souza- Children's Commissioner
Janette Threapleton- Director of Corporate Services
Jenny Wilcocks- Head of Finance (dial in)
Elaine Manak- Engagement Director, NAO
Ashleigh Thorius- Audit Manager, NAO
Hayley Clark- Associate Partner, EY (dial in)
Simon Sheung Fung Luk- Assistant Manager, EY
Chris Rising- Head of Internal Audit, Macintyre Hudson
Nasim Clark- Team Leader OCC Sponsorship Team, DfE

Apologies: Harry Buscall (Member)
Sarah Jennings – Deputy Director OCC Sponsorship Team, DfE

Board Secretariat: Mubanga Mwelwa

Summary of Discussion	
1.	Welcome and Introductions
	The Chair welcomed members and attendees to the meeting. Apologies were noted from Harry Buscall (Member) and Sarah Jennings (OCC Sponsorship Team, DfE).
2.	Declaration of Interests
	No new interests were declared.
3.	Draft Minutes of 22 September 2021, Summary of Actions and Matters Arising
	The Minutes of the meeting held on 22 September 2021 were approved. Action Log: Action 6; agenda item 6 of this meeting. Action 8; subject to finalising the 3-year strategy which will inform a revised Risk Register. Actions: None Matters Arising: None

<p>4.</p>	<p>Children's Commissioner's Report</p>
	<p>The Children's Commissioner introduced her report highlighting key achievements since her last report and outlined her plans for the next period.</p> <p>The Commissioner has had a busy period since launching the outcomes of the 'Big Ask'. The 'Big Answer' was published on 21 September 2021. Findings focussed on six themes: family, community, health, school, work and skills and children in care with an overarching theme of a 'better world'.</p> <p>The Commissioner has spoken about the findings to numerous key stakeholders including, DfE's Senior Leadership Team, members from the Confederation of School Trusts and Senior Leaders of NSPCC and the Children's Society.</p> <p>One of the key messages from The Big Ask indicated just how much children care about the future of the planet and the environment. The Commissioner was invited by the Royal Foundation and Generation Earthshott to speak at an event at COP26, speaking to 250 local Glaswegian children.</p> <p>Commission from Government on online harms: The Secretaries of State for Education and for Digital, Culture, Media and Sport wrote to the Commissioner to request her support work on protecting children from harmful content, including pornography, before the Online Safety Bill comes into effect.</p> <p>The Secretary of State for Education is keen to have the Commissioner's input where applicable and wrote to the Commissioner requesting further research on School Attendance and why it is lower than what it was before the pandemic. The Commissioner has also been working with the DfE on the SEND review, Children's Social Care review and Schools Whitepaper.</p> <p>The Chair thanked the Commissioner for her report and commended her for all the work she had undertaken since her last update.</p> <p>Actions: None</p>
<p>5.</p>	<p>Strategy</p>
	<p>The Commissioner has been developing a 3-year Strategy which will inform the direction of her work.</p> <p>A draft copy will be shared with Members for comment as soon as is practicable.</p> <p>Members discussed how outcomes could be measured and whether OCC could measure its performance using DfE performance indicators and support. Nasim Clarke stated that for OCC to preserve its independence it would be up to the OCC to decide how they would measure their performance. It was agreed that Micon Metcalfe would lead on behalf of the Committee on outcomes.</p> <p>Actions: OCC to share the strategy document with ARC members.</p>

<p>6.</p>	<p>External Audit (NAO) i) External Audit Plan 2021-22 ii) OCC Value for Money Update (November)</p>
	<p>External Audit Plan 2021-22 Elaine Manak confirmed that a new delivery partner, EY, is now in place and would commence their work for the 2021-22 financial audit imminently. Simon Luk (Assistant Manager, EY) would be leading on the day-to-day operations of the audit.</p> <p>The financial audit plan was tabled as follows: w/c 10 Jan to 17 Jan- Planning w/c 07 March 2022- Interim Fieldwork w/c 16 May to 15 June 2022- Final Fieldwork</p> <p>Elaine confirmed that the audit fee for 2021-22 had not been finalised however would be increased. Members expressed some concern at the late notification and asked that OCC be advised of any change as soon as possible.</p> <p>The Chair queried why the audit planning report was being presented in February and not in December. Elaine Manak stated that the audit team were behind with their planning activities, however reassured members that this will not affect the final outcomes of their work.</p> <p>OCC Value for Money Update (November) Elaine Manak pointed out the following areas of interest to be noted in the VFM report; cyber and information security: good practise guide and financial sustainability of schools in England.</p> <p>Actions: NAO to share the audit fee amount as soon as possible. NAO to present the Audit Planning Report to members at the February meeting.</p>
<p>7.</p>	<p>Internal Audit, Audit Assignment Update i) Data Collection Analysis and Reporting ii) Cyber Risk Management (verbal) iii) Internal Audit Recommendations Log</p>
	<p>Data Collection Analysis and Reporting Chris Rising reported that the Data Collection audit had concluded substantial assurance could be taken over the effectiveness of controls in place to manage the risks for this area.</p> <p>Members sought clarification on how the ‘right to be forgotten’ is monitored by OCC where data is processed outside of the organisation. It was suggested that OCC could request a ‘comfort letter’.</p> <p>Cyber Risk Management Chris Rising confirmed that the fieldwork on the Cyber Risk audit had been completed and the final report would be shared at the next meeting.</p> <p>Recommendations Log All recommendations are underway and are being actioned in accordance with agreed timelines.</p> <p>Members noted that internal audits thus far had yielded positive assurances.</p>

	<p>Actions: OCC to confirm how the 'right to be forgotten' is monitored.</p>
8.	<p>Risk Management and Assurance Framework Q2 Review i) Risk Register (November 2021) ii) Assurance Framework Q2 (Jul- Sept 2021) Review</p>
	<p>Janette Threapleton introduced the Strategic Risk Register. Members noted the changes in the risk profile since their last review.</p> <p>George Stylianides commended the OCC for their robust and impressive Risk Register given the size of the organisation.</p> <p>Actions: None</p>
9.	<p>Risk Review - The Big Ask Survey</p>
	<p>Micon Metcalf provided a verbal update and confirmed that her report will come to the next meeting.</p> <p>Actions: The Big Ask Survey review to be shared at the next meeting.</p>
10.	<p>Budget and Management Accounts Update i) Management Accounts (October 2021)</p>
	<p>The management accounts were reviewed, and spending was confirmed to be within normal range. At the end of Month 7 nearly £1.4 million of the OCC's £2.7m budget had been spent.</p> <p>Richard Smith reported that he had met with Jenny Wilcocks and that he is comfortable with the management of OCC's finances, describing them as well run.</p> <p>Actions: None</p>
11.	<p>AOB i) Letter from DfE Permanent Secretary to ALB's- Cyber Security ii) TIAA- Data Protection Alert- Risks Associated with Group Emails (November 2021) iii) Policies and Procedures</p>
	<p>The papers were provided to members for information.</p> <p>Actions: None</p>
<p>Future meeting dates: Wednesday 23 February 2022 Wednesday 18 May 2022 Wednesday 22 June 2022 Wednesday 22 June 2022 – Remuneration Committee Wednesday 21 September 2022 Wednesday 14 December 2022</p>	