



AGENDA

The meeting will be held at **10:00 via Microsoft Teams**.

A pre-meeting of the governors and the auditors will be held **09:30-09:55 via Microsoft Teams**. Attendees are asked not to dial in before 09:55 during the pre-meeting.

PRELIMINARY ITEMS		Item	Led by
1	Apologies	Verbal	N Whitaker
2	Declarations of Interest	Verbal	N Whitaker
3	* Terms of Reference and Membership	AUD-2122-001 CONFIDENTIAL	N Whitaker
4	Minutes of the previous meeting held on 25 June 2021	AUD-2122-002 CONFIDENTIAL	N Whitaker
5	Matters Arising	AUD-2122-003 CONFIDENTIAL	N Whitaker
RISK MANAGEMENT		Item	Led by
6	University Risk Register	AUD-2122-004 CONFIDENTIAL	C Thomas
7	Board Assurance Framework	Presentation	A Kennell
YEAR ENDING 31 JULY 2021			
8	External Audit Report / External Management Letter for the year ended 31 July 2021	AUD-2122-006 CONFIDENTIAL	BDO
9	Draft Financial Statements for the year ended 31 July 2021	AUD-2122-007 CONFIDENTIAL	P Harrison
10	Internal Audit Annual Opinion 2020/21	AUD-2122-008 CONFIDENTIAL	KPMG
11	Data Assurance Annual Report 2020/21	AUD-2122-009 CONFIDENTIAL	A Kennell / A Fern

12 *	2020/21 Annual Report on Fraud and irregularity, bribery, and public interest disclosure ('whistleblowing')	AUD-2122-010 CONFIDENTIAL	R Bradford
13	Annual assurance of compliance with OfS conditions of registration	AUD-2122-011 CONFIDENTIAL	C Thomas
14	Prevent Annual Accountability and Data Return	AUD-2122-012 CONFIDENTIAL	R Bradford
15	Audit Committee Annual Report and Opinion for the year ended 31 July 2021	AUD-2122-013 CONFIDENTIAL	N Whitaker

INTERNAL AUDIT

		Item	Led by
16 *	Updated Internal Audit Plan 2021/22	AUD-2122-014 CONFIDENTIAL	KPMG
17	Internal Audit Progress Report	AUD-2122-015 CONFIDENTIAL	KPMG
18 *	Internal Audit Report HESA Student Return (2020/21)	AUD-2122-016 CONFIDENTIAL	KPMG

GOVERNANCE AND COMPLIANCE

		Item	Led by
19	Reportable Events: Update Report	AUD-2122-017 CONFIDENTIAL	R Bradford
20 *	RESEARCH		
	20.1 Research Misconduct & Research Integrity - Annual Report	AUD-2122-018	C Barnes
	20.2 Research England Review of 2018/19 Postgraduate Research Student Data	AUD-2122-019 CONFIDENTIAL	C Barnes
21	Review of UKVI Compliance	AUD-2122-020 CONFIDENTIAL	C Thomas

OTHER BUSINESS

		Item	Led by
22	Schedule of Business 2021/22	AUD-2122-021	N Whitaker
23	Other Urgent Business		N Whitaker

Details of next meeting:

The next meeting of the Audit Committee will be held 10:00 – 13:00 on Friday 18 February 2022, via Microsoft Teams.

This will be preceded by a pre-meeting of the governors and the auditors from 09:30.

BDO and KPMG will be asked to leave the meeting for the reserved business

RESERVED BUSINESS (members, University Executive)

24	Annual Review of Internal Audit 2020/21	AUD-2122-022 CONFIDENTIAL	R Bradford
25	External Audit Feedback Report and 2020/21 Review	Verbal	P Harrison
26	Internal and External Audit Tender	AUD-2122-023 CONFIDENTIAL	N Whitaker
27	Investigation under the Whistleblowing Policy	Verbal	C Thomas

Shaded items indicate that the Committee is being asked to make a decision.

**Starred items will be taken without discussion unless a member notifies the Chair or Secretary in advance that she or he wishes the item to be open for debate.*

CHAIR APPROVED 01/10/2021



Schedule of Business 2021/22

Purpose of Report

The Audit Committee's schedule of business for 2021/22 is attached and will be considered at each meeting across the academic year and updated accordingly.

Action Requested

The report is **for information and to note.**

Author

October 2021 – Holly Lewis, Risk & Compliance Co-ordinator

Audit Committee Schedule of Business - 2021/22

Friday 05 November 2021, 10:00 – 13:00 (09:30 pre-meeting)	Friday 21 January 2022, 10:00 – 11:00	Friday 18 February 2022, 10:00 – 13:00, (09:30 pre-meeting)	Friday 22 April 2022, 10:00 – 13:00 (09:30 pre-meeting)	Friday 24 June 2022, 10:00 – 13:00 (09:30 pre-meeting)
<i>Report deadline: Wednesday 27 October 2021</i>	<i>Report deadline: Wednesday 12 January 2022</i>	<i>Report deadline: Wednesday 09 February 2022</i>	<i>Report deadline: Wednesday 13 April 2022</i>	<i>Report deadline: Wednesday 15 June 2022</i>
<ul style="list-style-type: none"> Terms of Reference & Membership Board Assurance Framework * Updated Internal Audit Plan 2021/22 Internal Audit Reports: <ul style="list-style-type: none"> * HESA Student Return (2020/21) Follow up of Cyber Security review 2020/21 (Progress Report) Internal Audit Annual Opinion 2020/21 Annual Data Assurance Report 2020/21 External Audit Report / External Management Letter for the Year Ended 31 July 2021 Draft Financial Statements for the Year Ended 31 July 2021 Audit Committee Annual Report and Opinion for the Year Ended 31 July 2021 Prevent Annual Accountability and Data Return Annual assurance of compliance with OfS conditions of registration * 2020/21 Annual Report on Fraud and irregularity, bribery, and public interest disclosure ('whistleblowing') * Research Misconduct & Research Integrity - Annual Report * Research England Review of 2018/19 Postgraduate Research Student Data Review of UKVI Compliance <p>Reserved Business</p> <ul style="list-style-type: none"> Internal Audit Feedback Report and 2020/21 Review External Audit - 2020/21 Interim Review Internal and External Audit Tender 	<ul style="list-style-type: none"> HOLD DATE 	<ul style="list-style-type: none"> 2020/21 review of local risk management practices Risk Management Deep Dive: HR Update on Business Engagement (Matters Arising) Interim review of Internal Audit Plan 2021/22 Internal Audit Reports: <ul style="list-style-type: none"> Student Health and Wellbeing Creditors Financial Accounting Policy and procedure for engaging the University's auditors for "non-core" audit services Annual review of Financial Regulations Annual Procurement update Transparent Approach to Costing (TRAC) return Outcome of ESFA mock audit <p>Reserved Business</p> <ul style="list-style-type: none"> Internal and External Audit Tender Update External Audit - 2020/21 Review 	<ul style="list-style-type: none"> Risk Management Deep Dive: TBC Internal Audit Reports: <ul style="list-style-type: none"> Insurance Arrangements Risk Management Progress on 2020/21 Cyber Security internal audit recommendations Draft External Audit Planning Report for Year ended 31 July 2022 <p>Reserved Business</p> <ul style="list-style-type: none"> Internal and External Audit Tender Recommendations 	<ul style="list-style-type: none"> Overview of corporate risk assessments across 2021/22 Risk Management Deep Dive: TBC Internal Audit Reports: <ul style="list-style-type: none"> Cyber Security Data Quality - HESSES Management of Overseas Agents Draft Internal Audit Plan 2022/23 Annual Review of Committee Terms of Reference & Membership (changes recommended to the Board) Draft Schedule of Business 2022/23 <p>2022/23: The outcomes of the internal audits of 'HR Data Management' and 'CRM Project Assurance' will report to the first meeting of 2022/23.</p>
Standing items				
<ul style="list-style-type: none"> University Risk Register Internal Audit Progress Report Reportable Events (decisions taken under the University's Reportable Events Procedure) 				

■ Shaded items indicate that the Committee is being asked to make a decision / recommend to the Board

* Starred items will be taken without discussion