



## AGENDA

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

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

<b>10:00 - PRELIMINARY ITEMS</b>		<b>Item</b>	<b>Led by</b>
1	Apologies	Verbal	N Whitaker
2	Declarations of Interest	Verbal	N Whitaker
3	Terms of Reference and Membership	AUD-2223-001 <b>CONFIDENTIAL</b>	N Whitaker
4	Minutes of the previous meeting held on 24 June 2022	AUD-2223-002 <b>CONFIDENTIAL</b>	N Whitaker
5	Matters Arising	AUD-2223-003 <b>CONFIDENTIAL</b>	N Whitaker
6	Chair's Action	Verbal	N Whitaker
<b>10:10 - FINANCIAL STATEMENTS &amp; EXTERNAL AUDIT</b>		<b>Item</b>	<b>Led by</b>
7	External Audit Report / External Management Letter for the year ended 31 July 2022	AUD-2223-008 <b>CONFIDENTIAL</b>	BDO
8	Draft Financial Statements for the year ended 31 July 2022	AUD-2223-009 <b>CONFIDENTIAL</b>	P Harrison
<b>10:25 - INTERNAL AUDIT 2021/22</b>		<b>Item</b>	<b>Led by</b>
9	– Internal Audit Report of CRM Project Assurance (2021/22) – Management Response	AUD-2223-017 <b>CONFIDENTIAL</b>	KPMG T Lancaster
10	Internal Audit Report of HR Data Management (2021/22)	AUD-2223-018 <b>CONFIDENTIAL</b>	KPMG
11	Internal Audit Report of Governance of Concordat for Research Integrity (2021/22)	AUD-2223-019 <b>CONFIDENTIAL</b>	KPMG

12	Internal Audit Progress Report	AUD-2223-016 <b>CONFIDENTIAL</b>	A Kennell
13	Draft Internal Audit Annual Report 2021/22	AUD-2223-010 <b>CONFIDENTIAL</b>	KPMG

#### 10:45 - RISK MANAGEMENT

	Item	Led by	
14	Corporate Risk Register	AUD-2223-004 <b>CONFIDENTIAL</b>	C Thomas
15	Board Assurance Framework – Update	AUD-2223-005 <b>CONFIDENTIAL</b>	A Kennell
16	Update on Degree Apprenticeships, OfSTED and ESFA actions and preparation	AUD-2223-006 <b>CONFIDENTIAL</b>	P Cardew
17	Deep Dive: Business Continuity Planning	AUD-2223-007 <b>CONFIDENTIAL</b>	A Kennell

#### 11:10 - YEAR ENDING 31 JULY 2022

18	Data Assurance Annual Report 2021/22	AUD-2223-011 <b>CONFIDENTIAL</b>	A Fern
19	Annual Report on Fraud and irregularity, bribery, and public interest disclosures ('whistleblowing') 2021/22	AUD-2223-012 <b>CONFIDENTIAL</b>	A Kennell
20	Annual Assurance of Compliance with OfS Conditions of Registration	AUD-2223-013 <b>CONFIDENTIAL</b>	C Thomas
21	Prevent Annual Accountability and Data Return	AUD-2223-014 <b>CONFIDENTIAL</b>	A Kennell
22	Audit Committee Annual Report and Opinion for the year ended 31 July 2022	AUD-2223-015 <b>CONFIDENTIAL</b>	N Whitaker

#### 11:35 - INTERNAL AUDIT

	Item	Led by	
23	Briefing Note - Analysis of Strategic Risk Registers in UK Universities	AUD-2223-025 <b>CONFIDENTIAL</b>	Uniac
24	Briefing Note - A European View on the Risk Environment: An Analysis for UK Higher Education	AUD-2223-026 <b>CONFIDENTIAL</b>	Uniac

25	Briefing Note - TEF 2023	AUD-2223-027 <b>CONFIDENTIAL</b>	Uniac
26	Internal Audit Plan 2022/23	AUD-2223-020 <b>CONFIDENTIAL</b>	Uniac

#### 11:50 - GOVERNANCE AND COMPLIANCE

	Item	Led by	
27	Reportable Events: Update Report	AUD-2223-021 <b>CONFIDENTIAL</b>	A Kennell
28	Research Misconduct & Research Integrity - Annual Report	AUD-2223-022 <b>CONFIDENTIAL</b>	C Barnes

#### 12:00 - OTHER BUSINESS

	Item	Led by	
29	Schedule of Business 2022/23	AUD-2223-023	N Whitaker
30	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 24 February 2024, via Microsoft Teams.

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

*The external and internal auditors will be asked to leave the meeting for the reserved business.*

*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.*

#### 12:00 - RESERVED BUSINESS (members, University Executive)

31	Review of Internal Audit 2021/22	AUD-2223-024 <b>CONFIDENTIAL</b>	A Kennell
32	Review of External Audit 2021/22	Verbal	P Harrison

**CHAIR APPROVED [21 September 2022]**



## **Schedule of Business 2022/23**

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### **Purpose of Report**

The Audit Committee's schedule of business for 2022/23 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 2022 – Holly Lewis, Risk & Compliance Co-ordinator

**Audit Committee Schedule of Business – 2022/23**

Friday 04 November 2022, 10:00 – 13:00 (09:30 pre-meeting)	Friday 24 February 2023, 10:00 – 13:00, (09:30 pre-meeting)	Friday 28 April 2023, 10:00 – 13:00 (09:30 pre-meeting)	Friday 23 June 2023, 10:00 – 13:00 (09:30 pre-meeting)
Report deadline: Wednesday 26 October 2022	Report deadline: Wednesday 15 February 2023	Report deadline: Wednesday 19 April 2023	Report deadline: Wednesday 14 June 2023
<ul style="list-style-type: none"> <li>• Terms of Reference &amp; Membership</li> <li>• Risk Management Deep Dive: Business Continuity Planning</li> <li>• Update on Degree Apprenticeships, OfSTED and ESFA actions and preparation</li> <li>• Board Assurance Framework - update</li> <li>• External Audit Report / External Management Letter for the Year Ended 31 July 2022</li> <li>• Draft Financial Statements for the Year Ended 31 July 2022</li> <li>• Internal Audit Annual Opinion 2021/22</li> <li>• Annual Data Assurance Report 2021/22</li> <li>• Annual Report on Fraud and irregularity, bribery, and public interest disclosures ('whistleblowing') 2021/22</li> <li>• Annual Assurance of Compliance with OfS Conditions of Registration</li> <li>• Prevent Annual Accountability and Data Return</li> <li>• Audit Committee Annual Report and Opinion for the Year Ended 31 July 2022</li> <li>• Internal Audit Plan 2022/23 (updated)</li> <li>• Internal Audit Reports:               <ul style="list-style-type: none"> <li>– CRM Project Assurance (KPMG)</li> <li>– HR Data Management (KPMG)</li> <li>– Governance of Concordat for Research Integrity (KPMG)</li> </ul> </li> <li>• Research Misconduct &amp; Research Integrity - Annual Report</li> </ul> <p><b>Reserved Business</b></p> <ul style="list-style-type: none"> <li>• Internal Audit Feedback Report and Review 2021/22</li> <li>• External Audit Review 2021/22</li> <li>• External Audit Tender Update (Matters Arising)</li> </ul>	<ul style="list-style-type: none"> <li>• Risk Management Policy and Appetite Statement</li> <li>• Annual Review of Operational Risk Management</li> <li>• Risk Management Deep Dive: IT and digital infrastructure</li> <li>• Internal Audit Reports:               <ul style="list-style-type: none"> <li>– International student experience</li> <li>– Health &amp; Safety Arrangements</li> <li>– Student Number Forecasting</li> <li>– Grant Capture Process for Research</li> </ul> </li> <li>• Annual review of Financial Regulations</li> <li>• Annual Procurement update</li> <li>• Transparent Approach to Costing (TRAC) return</li> <li>• External Audit Tender Recommendations</li> </ul>	<ul style="list-style-type: none"> <li>• Risk Management Deep Dive: Academic collaborative provision</li> <li>• Internal Audit Reports:               <ul style="list-style-type: none"> <li>– TBC</li> </ul> </li> <li>• Anti-Bribery and Corruption Policy</li> <li>• Counter Fraud Policy</li> <li>• Whistleblowing ('Public Interest Disclosure') Policy and Procedure</li> <li>• Draft External Audit Planning Report for Year ended 31 July 2023</li> </ul>	<ul style="list-style-type: none"> <li>• Overview of corporate risk profile across 2022/23</li> <li>• Risk Management Deep Dive: TBC</li> <li>• Internal Audit Reports:               <ul style="list-style-type: none"> <li>– TBC</li> </ul> </li> <li>• Annual presentation of Board Assurance Framework</li> <li>• Draft Internal Audit Plan 2023/24</li> <li>• Annual Review of Committee Terms of Reference &amp; Membership (changes recommended to the Board)</li> <li>• Draft Schedule of Business 2023/24</li> </ul>
<b>Standing items</b>			
<ul style="list-style-type: none"> <li>• Apologies, Declarations of Interest</li> <li>• Minutes of the last meeting</li> <li>• Matters arising</li> <li>• Chair's Action (for reporting any requests to engage the internal or external auditors for non-core audit work)</li> <li>• University Risk Register</li> <li>• Internal Audit Progress Report</li> <li>• Sector Briefing Note (Uniac)</li> <li>• Reportable Events Update</li> <li>• Schedule of Business 2021/22</li> </ul>			

Shaded items indicate that the Committee is being asked to make a decision / recommend to the Board  
Underlined items indicate reports that require UET scrutiny  
 \* Starred items will be taken without discussion