Audit and Risk Committee Agenda

Meeting to be held on Thursday 29 September 2022 at 09:15

Join Zoom Meeting:
https://york-ac-uk.zoom.us/j/93552578395?pwd=dmtzbmNYS1R5NGJKc2g1K3ZIczdTQT09

Please see the Category 2 Agenda for items which are: [a] provided for information only where discussion is not required or expected [*unless a request is made in advance to escalate an item to Category 1*] OR [b] supplementary information and/or data for items on the Category 1 Agenda.

SECTION 1: Standing Items

No.	Item	Item Code	Status	Lead(s)
1.1 *09:15hrs*	Apologies for absence	N/A	To note	All members
1.2 ---	Declarations of interest in items on the agenda	N/A	To note	All members
1.3 *09:20hrs*	Executive report from the Vice-Chancellor	AU.22-23/1	To note	Deputy Vice-Chancellor
1.4 *09:50hrs*	Terms of Reference/Membership	AU.22-23/2	To note	Chair/Secretary
1.5 *09:52hrs*	Minutes of the last meeting held on 14 July 2022	AU.22-23/3	To approve	Chair/Secretary
1.6 *09:55hrs*	Action tracking schedule	AU.22-23/4	To note	Chair/Secretary
1.7 *10:00hrs*	Schedule of business for 2022/23	AU.22-23/5	To note	Chair/Secretary

SECTION 2: Policy, Risk and Regulatory Matters

No.	Item	Item Code	Status	Lead(s)
2.1 *10:05hrs*	Risk Management Report	AU.22-23/6	To consider	Director of Planning & Risk/Risk Manager
2.2 *10:35hrs*	Periodic Assurance Report on general IT matters including: • cybersecurity (managed devices) • emerging issues • risk profile • mitigations/next steps	AU.22-23/7	To consider	IT Director
2.3 *11:05hrs*	Briefing note on statutory data returns (to inform the opinion required in the ARC Annual Report to Council)	AU.22-23/8	To consider	Director of Planning & Risk
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2.5 *11:20hrs*	Office for Students (OfS) regulatory update	**Verbal report**	To note	University Secretary

SECTION 3: Internal and External Audit Frameworks, Plans and Reports

No.	Item	Item Code	Status	Lead(s)
3.1 *11:25hrs*	Internal Audit plan <u>2021/22</u> progress report Individual reports as follows: (a) Partnerships – Due Diligence ████████████ (b) Ways of Working ██████████ (c) Faculty/Department Financial and Operational Compliance ████████ ████ --- (d) Research Strategy and Support ████████████ (e) Business Change ██████████████	AU.22-23/10(a) ----------------- AU.22-23/10(b) **TO FOLLOW**	To consider	PwC (*Karen Finlayson/Kate Ellis*) (a) Director of OPPA (*Mary Haworth*) (b) Chief Operating Officer (*Dr Joss Ivory*) (c) Finance Director (*Jeremy Lindley*) ---------------------------- (d) Associate Director (Operations)/RIKE (*Jennifer Gilmartin*) (e) Deputy Vice-Chancellor (*Saul Tendler*)

3.2 11:55hrs	External Audit 2021/22: progress report	**Verbal report**	To note	KPMG (*Tim Cutler/Matt Moore*)
3.3 12:00hrs	Audit Fees (including non-audit work undertaken by the audit firms during the 2021-22 financial period)	AU.22-23/11	To approve	Group Financial Controller

NOTE: After the formal meeting the Committee members will hold a short private meeting (i.e. without University officers or auditors in attendance).

Date of next meeting: <u>Thursday 17 November 2022</u> (09:00-13:00, including joint meeting with the Finance Committee in respect of the 2021/22 financial statements)

Audit and Risk Committee Agenda

Meeting to be held on Thursday 17 November 2022 at 10:00 in room H/G21, Heslington Hall (following the joint meeting with the Finance Committee at 09:00)

Please see the Category 2 Agenda for items which are: [a] provided for information only where discussion is not required or expected [*unless a request is made in advance to escalate an item to Category 1*] OR [b] supplementary information and/or data for items on the Category 1 Agenda.

SECTION 1: Standing Items

No.	Item	Item Code	Status	Lead(s)
1.1 *10:00hrs*	Apologies for absence	N/A	To note	All members
1.2 ---	Declarations of interest in items on the agenda	N/A	To note	All members
1.3 *10:05hrs*	Executive report from the Vice-Chancellor	AU.22-23/12	To note	Deputy Vice-Chancellor
1.4 *10:15hrs*	Minutes of the last meeting held on 29 September 2022	AU.22-23/13	To approve	Chair/Secretary
1.5 *10:17hrs*	Action tracking schedule	AU.22-23/14	To note	Chair/Secretary
1.6 *10:20hrs*	Schedule of business for 2022/23	AU.22-23/15	To note	Chair/Secretary

SECTION 2: Policy, Risk and Regulatory Matters

No.	Item	Item Code	Status	Lead(s)
2.1 *10:25hrs*	Risk Management Report	AU.22-23/16	To consider	Director of Planning & Risk
2.2 *10:45hrs*	Annual Value for Money Report 2021/22	AU.22-23/17	To consider	Finance Director

No.	Item	Item Code	Status	Lead(s)
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2.4 *11:15hrs*	Prevent Annual Report 2021/22	AU.22-23/18		University Secretary

SECTION 3: Internal and External Audit Frameworks, Plans and Reports

No.	Item	Item Code	Status	Lead(s)
3.1 *11:30hrs*	Internal Audit plans 2021/22 and 2022/23 progress report From the **2021/22** plan: (a) Business Change ▮▮▮▮▮▮▮▮▮ (b) Technology, Cyber and Information Security ▮▮▮▮▮▮▮▮ --- From the **2022/23** plan: (c) Data Returns ▮▮▮▮▮▮▮	AU.22-23/19	To consider	PwC (*Karen Finlayson/Kate Ellis*) (a) Deputy Vice-Chancellor) (b) IT Director (c) Director of Planning & Risk
3.2 *11:45hrs*	Internal Audit Annual Report and Opinion 2021/22	AU.22-23/20	To consider	PwC (*Karen Finlayson/Kate Ellis*)
3.3 *12:00hrs*	Audit & Risk Committee Annual Report to Council 2020/21	AU.22-23/21	To consider	Chair/Secretary
END: 12:15hrs				

Date of next meeting: <u>Thursday 16 February 2023</u> (09:00-12:00)

Audit and Risk Committee Agenda

Meeting to be held virtually on Thursday 16 February 2023 at 09:15

Join Zoom Meeting:
https://york-ac-uk.zoom.us/j/92420650049?pwd=a05IRExtSUh1UUlobVFMVXFsYmwxQT09

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SECTION 1: Standing Items

No.	Item	Item Code	Status	Lead(s)
1.1 *09:15hrs*	Apologies for absence	N/A	To note	All members
1.2 ---	Declarations of interest in items on the agenda	N/A	To note	All members
1.3 *09:20hrs*	Executive report from the Vice-Chancellor	AU.22-23/22	To note	Deputy Vice-Chancellor
1.4 *09:40hrs*	Minutes of the meetings held on 17 November 2022 (including joint meeting with the Finance Committee)	AU.22-23/23 AU.22-23/24	To approve	Chair/Secretary
1.5 *09:45hrs*	Action tracking schedule	AU.22-23/25	To note	Chair/Secretary
1.6 *09:50hrs*	Schedule of business for 2022/23	AU.22-23/26	To note	Chair/Secretary

SECTION 2: Policy, Risk and Regulatory Matters

No.	Item	Item Code	Status	Lead(s)
2.1 *09:55hrs*	Risk Management Reports: (a) Corporate Risk Register update (b) Risk Appetite methodology	 AU.22-23/27 AU.22-23/28	To consider	Director of Planning & Risk

No.	Item	Item Code	Status	Lead(s)
2.2 *10:25hrs*	Health and Safety Annual Report 2021/22	AU.22-23/29	To consider	Directors of Planning & Risk and Health & Safety
2.3 *10:55hrs*	Office for Students (OfS) regulatory update	Verbal report	To note	University Secretary

SECTION 3: Internal and External Audit Frameworks, Plans and Reports

No.	Item	Item Code	Status	Lead(s)
3.1 *11:00hrs*	Internal Audit plan 2022/23: progress report Individual report as follows: ➢ Core Financial Controls: Payroll ██ ██	AU.22-23/30	To consider	PwC (*Karen Finlayson/Kate Ellis*) ➢ Finance Director
3.2 *11:15hrs*	Updated Internal Audit Protocols	AU.22-23/31	To approve	Group Financial Controller
3.3 *11:25hrs*	██████████████ ████████████████ ███████████	████████	███████████████████████	
END: 11:35hrs				

Date of next meeting: Thursday 11 May 2023 (09:15-12:15), NB to be held in person in room H/G09, Heslington Hall

Audit and Risk Committee Agenda

Meeting to be held in person on Thursday 11 May 2023 at 09:15 in room H/G09, Heslington Hall

For members unable to attend in person the link to join virtually via Zoom is as follows:

https://york-ac-uk.zoom.us/j/97845415035

Please see the Category 2 Agenda for items which are: (a) provided for information only where discussion is not required or expected [*unless a request is made in advance to escalate an item to Category 1*] OR (b) supplementary information and/or data for items on the Category 1 Agenda.

SECTION 1: Standing Items

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1.1 *09:15hrs*	Apologies for absence	N/A	To note	All members
1.2 ---	Declarations of interest in items on the agenda	N/A	To note	All members
1.3 *09:20hrs*	Executive report from the Vice-Chancellor	AU.22-23/33	To note	Deputy Vice-Chancellor
1.4 *09:40hrs*	Minutes of the meeting held on 16 February 2023	AU.22-23/34	To approve	Chair/Secretary
1.5 *09:42hrs*	Action tracking schedule	AU.22-23/35	To note	Chair/Secretary
1.6 *09:45hrs*	Schedules of business for 2022/23 and 2023/24	AU.22-23/36	To consider	Chair/Secretary

SECTION 2: Policy, Risk and Regulatory Matters

No.	Item	Item Code	Status	Lead(s)
2.1 *09:50hrs*	IT Security Risk Update Report	AU.22-23/37	To consider	IT Director

No.	Item	Item Code	Status	Lead(s)
2.2 *10:05hrs*	Campus and Student Safety: periodic Assurance Report	AU.22-23/38	To consider	Academic Registrar
2.3 *10:20hrs*	VfM assurance and reporting proposals	AU.22-23/39	To consider	Finance Director/University Secretary
2.4 *10:35hrs*	Risk Management Reports: (a) Corporate Risk Register update (b) Risk Appetite Statement	AU.22-23/40 **TO FOLLOW**	To consider and endorse	Director of Planning & Risk
2.5 *10:50hrs*	Office for Students (OfS) regulatory update	Verbal report	To note	University Secretary

SECTION 3: Internal and External Audit Frameworks, Plans and Reports

No.	Item	Item Code	Status	Lead(s)
3.1 *10:55hrs*	Internal Audit plan 2022/23: progress report Individual reports as follows: ➢ Subsidiary Companies ███████ ➢ Student Experience ███████ ➢ Staff Recruitment ███████	AU.22-23/41	To consider	PwC (*Karen Finlayson/Kate Ellis*) ➢ Finance Director/Chief Operating Officer ➢ Academic Registrar ➢ Chief Operating Officer
3.2 *11:10hrs*	2022/23 Financial Statements Plan (including accounting policies)	AU.22-23/42	To note	Finance Director/Group Financial Controller
3.3 *11:25hrs*	External audit plan in respect of the year ending 31 July 2023	AU.22-23/43	To consider	Grant Thornton (*Phyllis Dzoboku/Deborah Watson*)
3.4 *11:40hrs*	External audit of University subsidiary companies: (a) audit feedback report for the year ended 31 July 2022 (b) audit plan for the year ending 31 July 2023	AU.22-23/44 Verbal Report	To consider	Azets (*Alan Sidebottom*)
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END: 12:00hrs	**Date of next meeting: <u>Thursday 13 July 2023</u> (09:15-12:15) via Zoom**			

Audit and Risk Committee Agenda

Meeting to be held via Zoom on Thursday 13 July 2023 at 09:15

The link to join is as follows (also in the Calendar entry):

https://york-ac-uk.zoom.us/j/91981052993?pwd=S2NVSEp6SnV0VlRydFVJQkFINXhjUT09

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1.1 *09:15hrs*	Apologies for absence	N/A	To note	All members
1.2 ---	Declarations of interest in items on the agenda	N/A	To note	All members
1.3 *09:20hrs*	Executive report from the Vice-Chancellor	AU.22-23/46	To note	Deputy Vice-Chancellor
1.4 *09:40hrs*	Minutes of the meeting held on 11 May 2023	AU.22-23/47	To approve	Chair/Secretary
1.5 *09:42hrs*	Action tracking schedule	AU.22-23/48	To note	Chair/Secretary
1.6 *09:45hrs*	Schedules of business for 2022/23 and 2023/24:	AU.22-23/49	To consider	University Secretary
1.7 *09:50hrs*	Matter Arising: guiding principles for periodic assurance reports	AU.22-23/50	To consider	University Secretary

SECTION 2: Policy, Risk and Regulatory Matters

No.	Item	Item Code	Status	Lead(s)
2.1 *10:00hrs*	Risk Management Reports: (a) Corporate Risk Register update (b) Revised Risk Appetite Statement	AU.22-23/51	(a) To consider (b) To endorse	Director of Strategic Planning & Performance
2.2 *10:20hrs*	Periodic Assurance Report: University Insurance Arrangements	AU.22-23/52	To consider	Finance Director/Insurance Manager
2.3 *10:30hrs*	Fire safety arrangements – assurance update	AU.22-23/53	To consider	Director of Health & Safety
2.4 *10:40hrs*	Data on staff leavers (exit questionnaires/interviews) – assurance update	AU.22-23/54	To consider	Chief Operating Officer
2.5 *10:50hrs*	Office for Students (OfS) regulatory update	Verbal report	To note	University Secretary

BREAK - 10:55-11:05hrs

SECTION 3: Internal and External Audit Frameworks, Plans and Reports

No.	Item	Item Code	Status	Lead(s)
3.1 *11:05hrs*	Internal Audit plan 2022/23: progress report Individual reports as follows: (a) UKVI Compliance ▉▉▉▉▉▉ (b) Risk Management ▉▉▉▉▉▉▉▉▉ – TO FOLLOW	AU.22-23/55	To consider	PwC (*Karen Finlayson/Kate Ellis*) (a) Academic Registrar (b) Director of Strategic Planning & Performance
3.2 *11:25hrs*	Internal Audit plan 2023/24	AU.22-23/56	To consider	PwC (*Karen Finlayson/Kate Ellis*)
3.3 *11:40hrs*	2022/23 Financial Statements Plan (including accounting policies) *[carried over from previous meeting]*	AU.22-23/57	To note	Finance Director/Group Financial Controller
3.4 *11:50hrs*	External audit of University subsidiary companies: plan for the year ending 31 July 2023	AU.22-23/58	To consider	Azets (*Alan Sidebottom*)
END: 12:00hrs	**Date of next meeting: <u>Thursday 21 September 2023</u> (09:15-12:15) via Zoom**			