

No.	Item	Item Code	Status	Lead(s)
	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
2.4	Value for Money (VfM) 2019/20 update	Verbal report	To consider	Finance Director
2.5	Academic assurance update	AU.20-21/10	To consider	Head of Governance

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

No.	Item	Item Code	Status	Lead(s)
3.1	Management update on status of previous internal audit recommendations	AU.20-21/11	To consider	Group Financial Controller
3.2	Internal audit plan 2019/20: progress report Individual reports as follows: a. COVID-19 response [REDACTED] b. Procurement [REDACTED] c. Research grants and contracts [REDACTED] d. Risk management [REDACTED] e. Expenses - overseas payments [REDACTED]	AU.20-21/12	To consider	PwC a. Finance Director b. Finance Director c. Deputy Director of Research & Enterprise d. Finance Director e. Finance Director
3.3	Final internal audit plan for 2020/21	AU.20-21/13	To approve	PwC
3.4	External audit 2019/20: progress report	Verbal report	To note	KPMG
3.5	Audit Fees (including non-audit work undertaken by the external auditors) during the 2019-20 financial period	AU.20-21/14	To approve	Finance Director
3.6	Office for Students (OfS) regulatory update	Verbal report	To note	Head of Governance

Section 4: Committee Effectiveness

No.	Item	Item Code	Status	Lead(s)
4.1	New CUC Code of Practice for HE Audit Committees	AU.20-21/15		Chair/Secretary
4.2	Committee effectiveness review: discussion paper	AU.20-21/16	To consider	Chair (Elect)/ Head of Governance
4.3	Annual schedule for 2020/21	AU.20-21/17	To note	Head of Governance

Audit and Risk Committee Agenda

Meeting to be held on Thursday 26 November 2020 at 10:00am by video-conference

Category 1 - Main Agenda

Section 1: Standing Items

No.	Item	Item Code	Status	Lead(s)
1.1	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	Executive report from the Vice-Chancellor	AU.20-21/18	To note	Deputy Vice-Chancellor
1.4	Minutes: <ul style="list-style-type: none"> 25 September 2020 Joint Effectiveness Session: 28 September 2020 	AU.20-21/19 AU.20-21/20	To approve	Chair/Secretary
1.5	Action tracking and matters arising from the minutes not covered elsewhere on the agenda	AU.20-21/21	To note	Chair/Secretary
1.6	Committee schedule of business for 2020/21	AU.20-21/22	To note	Chair/Secretary

Section 2: Policy, Risk and Regulatory Matters

No.	Item	Item Code	Status	Lead(s)
2.1	Finance Report (update on performance, MTP, accounts and covenant compliance)	AU.20-21/23	To note	Finance Director
2.2	Risk management update to include: <ul style="list-style-type: none"> risk governance and reporting update Risk Review Group activity full combined Strategic Risk Register summary and assurance around key changes in Strategic Risk status and controls 	AU.20-21/24	To consider	Director of Planning and Risk
2.3	Internal Audit: mapping of audit programme to Strategic Risk Register	AU.20-21/25	To consider	PwC

No.	Item	Item Code	Status	Lead(s)
2.4	Value for Money (VfM) Report 2019/20	AU.20-21/26	To consider	Group Financial Controller/ Acting University Secretary
2.5	Audit and Risk Committee Annual Report 2019/20 (Draft 1 minus final internal and external audit opinion)	AU.20-21/27	To consider	Secretary/ Acting University Secretary
2.6	Office for Students (OfS) regulatory update	Verbal report	To note	Acting University Secretary

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

No.	Item	Item Code	Status	Lead(s)
3.1	Management update on status of previous internal audit recommendations	AU.20-21/28	To consider	Group Financial Controller
3.2	Internal Audit Annual Report and Opinion 2019/20	AU.20-21/29	To consider	PwC
3.3	Internal Audit Plan 2020/21: Progress Report	AU.20-21/30	To consider	PwC
3.4	External Audit DRAFT year-end report	AU.20-21/31	To note	KPMG

Date of the next meeting:

Wednesday 16 December 2020, 08:30-09:30 (joint meeting with Finance Committee to consider the MTP and year-end accounts ahead of formal consideration of the year-end accounts in January 2021). A separate Audit and Risk Committee Meeting will need to be held following the joint meeting with Finance Committee in January 2021 (but before Council in January 2021) to formally recommend the annual accounts to Council and review the final Audit and Risk Committee Annual Report 2019/20, and final internal and external audit annual opinions for 2019/20.

November 2020

Audit and Risk Committee Agenda

Meeting to be held on Tuesday 19 January 2021 at 14:30

Category 1 - Main Agenda

Section 1: Standing Items

No.	Item	Item Code	Status	Lead(s)
1.1	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

Section 2: Audit and Committee Reports

No.	Item	Item Code	Status	Lead(s)
2.1	Internal Audit Annual Report and Opinion 2019/20	AU.20-21/32	To consider	PwC
2.2	External Audit Year-end Report 2019/20	AU.20-21/33	To consider	KPMG
2.3	Audit and Risk Committee Annual Report to Council 2019/20	AU.20-21/34	To consider	Chair
2.4	Management report on the accounts preparation [REDACTED]	AU.20-21/35	To note	Finance Director

Section 3: Annual Report and Accounts

No.	Item	Item Code	Status	Lead(s)
3.1	Annual report and financial statements for the year ended 31 July 2020 (including management representation letter to the external auditors)	AU.20-21/36	To consider	Finance Director

Section 4: Item for Approval

No.	Item	Item Code	Status	Lead(s)
3.1	Proposed change to the current year's internal audit plan	AU.20-21/37	To consider	Finance Director

January 2021

Audit and Risk Committee Agenda

Meeting to be held on Wednesday 3 March 2021 at 14:30

Category 1 - Main Agenda

Section 1: Standing Items

No.	Item	Item Code	Status	Lead(s)
1.1	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	Executive report from the Vice-Chancellor	AU.20-21/38	To note	Deputy Vice-Chancellor
1.4	Minutes: <ul style="list-style-type: none"> • 26 November 2020 • 16 December 2020 (joint with Finance Committee - MTP) • 18 January 2021 (joint with Finance Committee - Accounts) • 19 January 2021 	AU.20-21/39 AU.20-21/40 AU.20-21/41 AU.20-21/42	To approve	Chair/Secretary
1.5	Action tracking schedule	AU.20-21/43	To note	Chair/Secretary
1.6	Committee Effectiveness Review	AU.20-21/44	To consider	Chair/University Secretary
1.7	Committee schedule of business for 2020/21	AU.20-21/45	To note	Chair/Secretary

Section 2: Policy, Risk and Regulatory Matters

No.	Item	Item Code	Status	Lead(s)
2.1	Corporate Risk Management update	AU.20-21/46	To consider	Director of Planning and Risk
2.2	Statutory Data Returns	AU.20-21/47	To consider	Director of Planning and Risk
2.3	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	Management update on status of previous internal audit recommendations	AU.20-21/48	To consider	Group Financial Controller
3.2	<p>Internal audit plan 2020/21: progress report</p> <p>Individual reports as follows:</p> <ul style="list-style-type: none"> a. HR working policies/procedures [REDACTED] b. UUK student accommodation compliance review [REDACTED] c. IT/Cyber Security [REDACTED] d. PCMIS Health Technologies [REDACTED] 	AU.20-21/49	To consider	<p>PwC</p> <ul style="list-style-type: none"> a. Chief Operating Officer b. Director of Technology, Estates and Facilities c. Director of Technology, Estates and Facilities/ Interim IT Director d. Finance Director

Date of the next meeting: Wednesday 12 May, 15:30

Audit and Risk Committee Agenda

Meeting to be held on Wednesday 12 May 2021 at 15:30

Category 1 - Main Agenda

Section 1: Standing Items

No.	Item	Item Code	Status	Lead(s)
1.1	Apologies for absence	N/A	To note	All members
1.2	a. Declarations of interest in items on the agenda b. Non-audit work by PwC	N/A AU.20-21/50	To note To approve	All members Finance Director/PwC
1.3	Executive report from the Vice-Chancellor	AU.20-21/51	To note	Deputy Vice-Chancellor
1.4	Minutes of the last meeting held on 3 March 2021	AU.20-21/52	To approve	Chair/Secretary
1.5	Action tracking schedule	AU.20-21/53	To note	Chair/Secretary
1.6	Committee Effectiveness Review: progress report	AU.20-21/54	To note	Chair/University Secretary
1.7	Committee schedule of business for 2020/21 and draft schedule for 2021/22	AU.20-21/55	To note	Chair/Secretary

Section 2: Policy, Risk and Regulatory Matters

No.	Item	Item Code	Status	Lead(s)
2.1	Finance Report (half-year financial forecast)	AU.20-21/56	To note	Finance Director/Group Financial Controller
2.2	2020/21 Financial Statements Plan (including accounting policies)	AU.20-21/57	To note	Finance Director/Group Financial Controller

No.	Item	Item Code	Status	Lead(s)
2.3	Corporate Risk Management update: a. Corporate Risk Register Review b. Corporate Risk Governance Proposals	AU.20-21/58	To endorse	a. Director of Planning and Risk b. University Secretary
2.4	PwC: HE Sector Risk Profile (summary chart)	AU.20-21/59 [full report on Category II agenda]	To consider	PwC
2.5	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	External audit plan and strategy in respect of the year ending 31 July 2021	AU.20-21/60	To consider	KPMG
3.2	Management update on status of previous internal audit recommendations and updated internal audit protocols	AU.20-21/61	To consider	Group Financial Controller
3.3	Internal audit plan 2020/21: progress report Individual reports as follows: a. Student Wellbeing [REDACTED] b. Prevent Duty [REDACTED] c. TRAC [REDACTED] d. Follow Up (Phase 1)	AU.20-21/62	To consider	PwC a. Academic Registrar b. Academic Registrar/ University Secretary c. Finance Director d. N/A
3.4	Internal audit plan for 2021/22	AU.20-21/63	To approve	PwC

Date of the next meeting: Thursday 23 September 2021 (09:15-12:30)