

AGENDA


AUDIT AND RISK COMMITTEE, AR-116

Date:	Tuesday 10 March 2020
Time:	1500 for external Committee Members and <u>external</u> Auditors; 1530 for all other attendees
Location:	Boardroom, University House, Leek Road Campus

Notes:

1. Items marked with an asterisk (starred items) are for information only or regarded as noncontentious. Starred items will not be discussed and will be assumed to have been noted or approved unless a request to unstar a named item is received from a Board member in advance, or at the commencement, of the meeting.
2. Items classified as Confidential will be placed on the Register of Confidential Minutes (reviewed annually). These items, and their subsequent minutes, will be redacted before publication of the agenda and minutes on the University's public website.

1500 - 1530 Pre-meet for external Committee Members with **external** auditors (without the presence of University staff)

	Lead	Pgs
1 MEETING MANAGEMENT		
1.1	Apologies for Absence	Clerk
1.2	Declarations of Interest	Clerk
1.3	Minutes of the last meeting of the Committee, 28 Jan 2020 AR/116/01	Clerk 3-8
1.4	Matters arising: <ul style="list-style-type: none"> • Minute 1672 – TRAC and TRACT-T returns 2018-19 - to note that following approval at the 28 January 2020 committee meeting, these were submitted on 29 January 2020. •  	Clerk
1.5	*Overview of Annual Business for 2019-20* AR/116/02	Clerk 9-10
2 FOR DISCUSSION AND/OR APPROVAL (marked below accordingly)		
2.1	Internal Audit Reports 2019-20 (APPROVAL): <ul style="list-style-type: none"> • Estates Compliance: Asbestos (<i>reasonable assurance</i>) AR/116/03 • Data Quality (HESES) (<i>substantial assurance</i>) AR/116/04 • Internal Audit Progress Report AR/116/05 <p>(N.B. documents <u>AR/116/03</u> and <u>AR/116/04</u> are rated low- or medium-risk and are therefore available on SharePoint rather than included in the papers. Exec summaries of these are given in the Progress Report, AR/116/05.)</p>	RSM/as designated 11-29
2.2	Review of University Level Risk Registers (DISCUSSION) AR/116/06	COO 30-79
2.3	Annual Review of Risk Appetites (DISCUSSION) AR/116/07	COO 80-83
2.4	Internal Audit Plan 2020-2021 (DISCUSSION) verbal update	COO/CFO

		Lead	Pgs
2.5	Health, Safety and Wellbeing Annual Report 2018-19 (DISCUSSION) AR/116/08	BRM	84-113
2.6	External Audit Service (DISCUSSION) AR/116/09	CFO	114-134
2.7		VC	<i>to follow</i>
3 FOR INFORMATION			
3.1	*Outstanding Actions against earlier Internal Audit Reports 2018-19 and 2019-20* AR/116/11 and AR/116/12	BRM	135-137; 138-141
4 ADDITIONAL MATTERS			
4.1	How have we made a positive impact on our students today?	Clerk	
4.2	Any additional matters	Clerk	
4.3	Items to be referred to Sustainability and Resources Committee	Clerk	
4.4	Items to be referred to Board of Governors	Clerk	
4.5	Next meeting: Tuesday 2 June 2020 (Boardroom, University House)		