

## BOARD OF GOVERNORS

## AUDIT AND RISK COMMITTEE

There will be a meeting of the Audit and Risk Committee from **11.15am until 2.30pm on Tuesday 12 November 2019** in Room 5541, Howard Building, City Campus.

If you are unable to attend, please notify Angela Temple in the Governance Services by telephone on 0114 225 4590 or by email [a.temple@shu.ac.uk](mailto:a.temple@shu.ac.uk)

If you have any queries or require further information please contact Michaela Boryslawskyj by telephone on 0114 225 2051 or by email [M.Boryslawskyj@shu.ac.uk](mailto:M.Boryslawskyj@shu.ac.uk).

Members should notify the Secretary of any item to be raised under 'Other Urgent Business' at least 24 hours in advance of the meeting.

Unless members indicate to the Chair at the start of the meeting that they wish to raise specific points, the items listed below (marked +) for the Committee to receive and note will not be discussed at the meeting.

## A G E N D A

11.15am (15 min)	1	<b>Apologies for absence</b>
	2	<b>Declaration of interests</b> Members are reminded of their duty under the Articles of Government to declare any personal interest, financial or otherwise, relating to agenda items to be considered at the meeting
	3	<b>Private Meeting of Committee Members</b>
11.30am (30 min)	4	<b>Private Meeting between Committee Members and the auditors</b>
Noon (60 min)	5	<b>Break/Lunch</b>
1pm (5 mins)	6	A/3/19/M <b>Minutes of the meeting held on 19 September 2019</b>  To <u>consider</u> the:  i) minutes; ii) confidential minutes.
	7	A/4/19/7 <b>Matters Arising/Audit and Risk Committee Action Tracker, version 31 October 2019</b>  To <u>receive</u> the action tracker and <u>consider</u> matters arising not elsewhere on the agenda.
	8	<b>Other urgent business</b>  To deal with other urgent business notified by 12 noon on 11 November 2019 or accepted by resolution.

1.05pm (20 min)	9		<b>Internal Audit</b>
	9.1		<b>Internal Audit Reports</b>
			To <u>receive</u> and <u>discuss</u> the following reviews:
		A/4/19/9.1(i)	(iii) IT: operational controls
		A/4/19/9.1(ii) <u>To follow</u>	(ii) Student HESA
		A/4/19/9.1(iii)	(iii) Budget setting and Reporting
		A/4/19/9.1(iv)	(iv) Follow-up
	9.2	A/4/19/9.2	<b>2018/19 Internal Audit Annual Report</b>
			To <u>receive</u> and <u>discuss</u> .
	9.3	A/4/19/9.3	<b>Report on Implementation of Internal Audit Recommendations</b>
			To <u>receive</u> and <u>discuss</u> .
	9.4	A/4/19/9.4	<b>Internal Audit Strategy and Operational Plan for 2019/20</b>
			To <u>receive</u> and <u>approve</u> phase 2.
	9.5	A/4/19/9.5 Confidential	<b>Annual Performance Review of Internal Audit</b>
			To <u>receive</u> and <u>discuss</u> .
1.25pm (10 min)	10		<b>Risk Management</b>
	10.1	A/4/19/10.1	<b>Risk Management</b>
			To <u>receive</u> and <u>discuss</u> .
	10.2	A/4/19/10.2	<b>Internal audit report 2018/19: Early Follow Up -Risk Management</b>
			To <u>receive</u> KPMG's audit report and <u>discuss</u> .
1.35pm (5 mins)	11	A/4/19/11 Confidential	<b>Data Security Breach Report</b>
			To <u>receive</u> and <u>discuss</u> .
1.40pm (20 mins)	12		<b>Assurance and Accountability</b>
	12.1	A/4/19/12.1	<b>Assurance of Data Returns: Update</b>
			To <u>receive</u> and <u>discuss</u>
	12.2		<b>Report of Personal Development Reviews (PDRs)</b>
			To <u>receive</u> a presentation and <u>discuss</u> .

- 12.3 A/4/19/12.3 **Modern Slavery and Human Trafficking Statement (for financial year ended 31 July 2019)**  
To recommend to the Board for approval.
- 2.00pm  
(15 mins) 13 **Value for Money**
- 13.1 A/4/19/13.1 **Annual Procurement Report 2018/19**  
Confidential  
To receive and discuss.
- 13.2 A/4/19/13.2 **Office for Students' Value for Money Strategy 2019 to 2021**  
To receive and discuss.
- 2.15pm  
(15 min) 14 **Committee Effectiveness**
- 14.1 A/4/19/14.1 **(+) Compliance with the Office for Students' Audit Code of Practice**  
To receive and note.
- 14.2 A/4/19/14.2 **Audit and Risk Committee Annual Report to Board of Governors and Accountable Officer 2018/19**  
To receive the report and:  
(i) review the Committee's effectiveness in 2018/19  
(ii) approve the report.
- 15 **External Audit**
- 15.1 A/4/19/15.1 **(+) Additional Work Carried Out by the External Auditors**  
To receive and note
- 16 **(+) Draft Outline Forward Planning Programme for the Audit and Risk Committee**  
To receive and note.
- 17 **Date of next meeting**  
Tuesday 28 January 2020 from 9.45am to 10.15am- as part of Governors Development Day - to discuss and approve TRAC submission as required by the OfS  
Thursday 27 February 2020 from 4pm to 6.30pm

Michaela Boryslawskyj  
Clerk to the Board of Governors  
6 November 2019