

## BOARD OF GOVERNORS

## AUDIT AND RISK COMMITTEE

There will be a meeting of the Audit and Risk Committee from **11.15am until 3.30pm on Tuesday 13 November 2018** in Room 5541, Howard Building, City Campus.

The Audit and Risk Committee (including private meetings) agenda is presented below.

The agenda for the joint meeting of the Audit and Risk Committee and the Finance and Employment Committee (2.30pm to 3.30pm) is presented separately.

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

If you have any queries or require further information please contact Martin Conway by telephone on 0114 225 2051 or by email martin.conway@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

11.15m (15 min)	1	<b>Private Meeting of Committee Members</b>
11.30pm (30 min)	2	<b>Private Meeting between Committee Members and management</b>
Noon (30 min)	3	<b>Break/Lunch</b>
12.30 (30 min)	4	<b>Private Meeting between Committee Members and the auditors</b>
1pm (5 min)	5	<b>Apologies for absence</b>
	6	<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
	7	<b>Minutes of the meeting held on 20 September 2018</b> To <u>consider</u> the minutes
	8	<b>Matters Arising/Audit and Risk Committee Action Tracker, version 5 November 2018</b> To <u>receive</u> the action tracker and <u>consider</u> matters arising not elsewhere on the agenda.
	9	<b>Other urgent business</b> To deal with other urgent business notified by 12 noon on 12 November 2018 or accepted by resolution.

	10		<b>External Audit</b>
	10.1	A/4/18/10.1	(+) Additional Work Carried Out by the External Auditors To <u>receive</u> and <u>note</u>
1.05pm (35 min)	11		<b>Internal Audit</b>
	11.1		Internal Audit Reports To <u>receive</u> and <u>discuss</u> the following reviews:
		A/4/18/11.1(i)	(i) Effectiveness of Staff Appraisals Follow Up
		A/4/18/11.1(ii)	(ii) Technology Strategy
		A/4/18/11.1(iii)	(iii) Follow-up of Internal Audit Recommendations
		A/4/18/11.1(iv)	(v) Early Follow Up - Senior Staff Remuneration
	11.2	A/4/18/11.2	2017/18 Internal Audit Annual Report To <u>receive</u> and <u>discuss</u> .
	11.3	A/4/18/11.3	Report on Implementation of Internal Audit Recommendations To <u>receive</u> and <u>discuss</u> .
	11.4	A/4/18/11.4	Internal Audit Strategy and Operational Plan for 2018/19 To <u>receive</u> and <u>discuss</u> .
1.40pm (15 min)	12		<b>Risk Management</b>
	12.1	A/4/18/12.1	Report on Risk Management To <u>receive</u> and <u>discuss</u> .
	12.2	A/4/18/12.2 CONFIDENTIAL	Report on Progress to Implement the General Data Protection Regulation To <u>receive</u> a KPMG's audit report and <u>discuss</u> .
1.55pm (10 min)	13	A/4/18/13	<b>Assurance of Data Returns</b> To <u>receive</u> and <u>discuss</u>
2.05pm (5 min)	14	A/4/18/14	<b>Modern Slavery and Human Trafficking Statement</b> To <u>recommend</u> to the Board for approval.
2.10pm (5 min)	15	A/4/18/15	<b>Transparent Approach to Costing (TRAC)</b> To <u>receive</u> and <u>discuss</u>
2.15pm (10 min)	16	A/4/17/16	<b>Audit and Risk Committee Annual Report to Board of Governors and Accountable Officer 2017/18</b> To <u>consider</u> and <u>approve</u>

**Date of next meetings**

Tuesday 13 November 2018 from 2.30pm to 3.30pm - Joint meeting  
between FEC and ARC

Thursday 14 March 2019 from 4pm to 6.30pm

Martin Conway  
Clerk to the Board of Governors  
6 November 2018

**For information**

*Unless members indicate to the Secretary prior to the meeting that they wish to raise specific points, the items listed below are for information and will not be discussed at the meeting.*

(+) Draft Outline Forward Planning Programme for meetings of the Audit and Risk Committee

(+) HEFCE Guidance for HEI audit committees on providing data assurance to funding bodies