

AUDIT COMMITTEE: PROGRAMME OF BUSINESS 2019/20

7th OCTOBER 2019

REPORT	RESPONSIBILITY
Annual Report – Contracts & Grants Audit [Also goes to Finance Committee – Audit Committee for information to include the Grant Auditors’ opinion within the Audit Cttee Annual Report]	Finance Director
Policy for the Provision of Non-Audit Work by the External Auditors [The External Auditors asks the Audit Committee to formally agree on an annual basis that it is content with the structure, content and operation of the Policy]	Finance Director/External Auditors
<p><u>Year End Annual Reports:</u></p> <ul style="list-style-type: none"> (i) Internal Control Effectiveness Statement (ii) Draft Corporate Governance Statement (iii) Draft Public Benefit Report (iv) Internal Auditors Annual Report (v) Draft Audit Committee Annual Report 	<p>Clerk to the Board</p> <p>Interim University Secretary and Director of Legal & Governance Services</p> <p>Interim University Secretary and Director of Legal & Governance Services</p> <p>Internal Auditors/Interim University Secretary and Director of Legal & Governance Services</p> <p>Interim University Secretary and Director of Legal & Governance Services/Audit Committee</p>
University Internal Audit Tracking Report	Director of Legal & Governance Services

REPORT	RESPONSIBILITY
Internal Audit Progress Report	Director of Legal & Governance Services/Internal Auditors
Appointment/Review of External Auditors (annually)	Finance Director
Central Monitoring Log: Statutory Returns	Executive Assistant (Governance and Records Management)

4th NOVEMBER 2019

REPORT	RESPONSIBILITY
Risk Register	Director of Strategic Planning
<u>Year End Annual Reports:</u>	
(i) Financial Statements Year Ending 31 st July 2019 (including Corporate Governance Statement & Public Benefit Report)	Finance Director
(ii) Audit Highlights Memorandum and Management Letter: Year Ending 31 st July 2019.	Finance Director/External Auditors
(iii) Audit Committee Annual Report [must be presented before the audited financial statements are signed – Audit Code of Practice, Hefce]	Audit Committee/Clerk to the Board
(iv) Annual Assurance Return This was not required in 2018. Waiting to know what OfS requirements will be.	Clerk to the Board
(v) Annual Sustainability Assurance Report (ASSUR)	Finance Director
(vi) Annual Quality Assurance Report	Academic Registrar
(vii) Prevent Duty Annual Monitoring Report	Head of Student Advice and Wellbeing

REPORT	RESPONSIBILITY
Letter of Representation	Finance Director
Letter of Support (LRC)	Finance Director
Value for Money Annual Report This was not required in 2018. Waiting to know what OfS requirements will be.	Finance Director
Modern Slavery Act Statement	Finance Director
Annual Quality Assurance Report for the Board of Governors	Head of Quality and Standards
Internal Audit Progress Report	Interim University Secretary and Director of Legal & Governance Services/Internal Auditors
Central Monitoring Log: Statutory Returns	Executive Assistant (Governance and Records Management)

17TH FEBRUARY 2020

REPORT	RESPONSIBILITY
Student Governance Annual Report	Head of Student Governance
Procurement Services Annual Report	Finance Director
Internal Audit Progress Report	Interim University Secretary and Director of Governance & Legal Services/Internal Auditors
Annual University Internal Audit Tracking Report	Interim University Secretary and Director of Legal & Governance Services
Central Monitoring Log: Statutory Returns	Executive Assistant (Governance and Records Management)

11TH MAY 2020

[Please note that a separate meeting of the External/Internal Auditors and the Committee Members should take place 30 minutes prior to the June meeting, without management attendance]

REPORT	RESPONSIBILITY
Risk Register	Director of Strategic Planning
Anti-Bribery, Anti-Fraud, Anti-Corruption Update Report	Interim University Secretary and Director of Legal & Governance Services
Audit Strategy and Planning Memorandum. [This then goes to Finance Committee Members in June, by email, with Audit Committee Minute for information]	External Auditors
HE Financial Statements Benchmarking	External Auditors
University Internal Audit Tracking Report	Interim University Secretary and Director of Legal & Governance Services
Internal Audit Plan 2019/20	Interim University Secretary and Director of Legal & Governance Services/Internal Auditors
Internal Audit Progress Report	Interim University Secretary and Director of Legal & Governance Services/Internal Auditors
Whistleblowing Procedure Annual Report	Interim University Secretary and Director of Legal & Governance Services
Information Compliance Annual Report	Interim University Secretary and Director of Legal & Governance Services
Ethics Policy Annual Review	Interim University Secretary and Director of Legal & Governance Services

REPORT	RESPONSIBILITY
Terms of Reference/Programme of Business 2019/20. [This includes the Committee's effectiveness review whereby the Audit Committee reflects on whether it has met its term of reference]	Clerk to the Board
Office for Students (OfS) Prevent Monitoring: ADR and risk assessment outcome [Letter for Information]	Vice-Chancellor & Chief Executive
RSM Internal Auditors: Contract Annual Review	Interim University Secretary and Director of Legal & Governance Services
Central Monitoring Log: Statutory Returns	Executive Assistant (Governance and Records Management)