**AUDIT AND RISK COMMITTEE MEETING SUMMARY**

**Key summary points from the HRA Audit and Risk Committee meeting held on 07 November 2018**

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| **COMMITTEE GOVERNANCE** | **07 November 2018, Avonmouth House**   * Quorate * Attendance (membership) – 4/4 |
| **KEY BUSINESS CONDUCTED** | **Audit and Risk Committee Effectiveness Survey Results**  The results from the 2018 survey were largely positive and, in general, an improvement from the last survey. The Committee was assured it is following best practice as set out in the five good practice principles (Membership / Skills / Roles / Scope /  Communication) from the Audit Committee Handbook published by HM Treasury.  A survey of the effectiveness of Internal and External Audit had also been undertaken with largely positive findings. A recommendation for greater involvement from external audit was raised with a request for examples of best practice and relevant baseline information when applicable.  The survey will be repeated annually. |
| **Delivery of HRA HGIAS Audit Plan 2018/19**  The Committee noted he plan was on track with two audits completed in quarter 2.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Review** | **Assurance level** | **Findings** | | | **Comments** | | **H** | **M** | **L** | | HRA GDPR Review | **MODERATE** | 0 | 3 | 3 | Overall HRA has completed almost all actions required to be GDPR compliant. The final recommendations from the audit are in the process of being completed including the provision of a new training package for staff using the new Learning Management System once developed. | | Review of HRA Assurance Mapping | **LIMITED** | 1 | 2 | 1 | The Committee agreed the process is still in its early stages with the baseline review only recently completed at the time. The limited rating did not necessarily reflect any significant weakness identified in the governance or risk management framework. |   *Substantial – the framework of governance, risk management and control is adequate & effective*  *Moderate - some improvements are required to enhance the adequacy and effectiveness of the framework*  *Limited - significant weaknesses in the framework - it could be / could become inadequate and ineffective*  *Unsatisfactory - fundamental weaknesses in the framework - it is inadequate and ineffective or is likely to fail*  The Committee discussed the importance of cyber security noting the audit planned for quarter 3. The Committee noted a letter from DHSC with regard to assurance of Arm’s Length Body (ALB) cyber resilience had been received flagging the need for ALBs to sign up to the Data Security and Protection (DSP) Toolkit. |
| **HRA Assurance Mapping update**  The Committee reviewed the HRA Assurance Map Procedure which provides details of the proposed HRA Annual Assurance Plan. The Committee noted the plan will consider strategic objectives, risks, the business plan and other requirements and determine any areas of HRA business where further assurance may be required. The Committee noted the plan will include self-assessment reviews undertaken by function owners, corporate reviews undertaken by the HRA QA team and capture any external audits taking place. The findings from these reviews will be used to update the assurance map and give a clear indication of the level of assurance across the HRA.  The Committee was supportive of the direction of travel and approved the assurance mapping procedure. |
| **External Audit Planning report on the 2018-19 financial statement audit**  The Committee received and noted the Audit planning report on the 2018-19 financial statement audit. The Committee accepted the fee associated with the audit. |
| **Information Governance Steering Group Annual Report 2017/18**  The Committee received and noted the IG annual report for 2017/18. The Committee noted one risk in the report related to the difficulty in ascertaining HRA staff mandatory training completion rates, which includes IG related training. The Committee noted the Electronic Staff Record may provide a solution with further investigation underway. |
| **Risk Deep Dive – Brexit and EU Clinical Trial Regulations**  The Committee received a presentation which detailed the HRA’s preparedness for Brexit in two key areas; research and data. The Committee noted the consensus amongst stakeholders was either the UK is part of the same regulation or the regulation is mirrored exactly therefore the researcher experience should not be particularly different from 01 April 2019. The Committee noted the programme of work to deliver this remains on track.  The Committee agreed there are still considerable risks and work required however was reasonably assured appropriate steps are being taken to ensure the HRA is as prepared as possible. The Committee agreed it would be helpful to receive a further update on Brexit at the February Audit & Risk Committee. |
| **Corporate Risk Register Quarter 2 2017/18**  The Committee reviewed and noted the Corporate Risk Register for Quarter 2 2018/19. |
| **UPCOMING MEETING TOPICS** | * Receive draft HGIAS Audit Plan * Receive draft HRA Annual Assurance Plan * Review fraud position * Review scheme of delegation * Review Quarter 3 Risk Register * Review Assurance Mapping Framework |