**AUDIT AND RISK COMMITTEE MEETING SUMMARY**

**Key summary points from the Audit and Risk Committee meeting held on 01 November 2017**

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| **COMMITTEE GOVERNANCE** | **01 November 2017, HRA 1, Skipton House**   * Quorate * Attendance (membership) – 4/4 |
| **KEY BUSINESS CONDUCTED** | **External Audit plan for 2017/18 financial statement**  The Committee noted the plan from Mazars, External Auditors, for the 2017/18 financial statement. The only significant risk identified was the management override of controls (which is always a presumed risk). |
| **HGIAS Assurance reports and delivery of audit plan**   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Review** | **Assurance level** | **Findings** | | | **Comments** | | **H** | **M** | **L** | | HRA Service Improvement Programme (SIP) Development of Strategy and Objectives | **ADVISORY** | N/A | N/A | N/A | The findings from the review were largely positive with good progress made in defining the SIP’s high-level objectives with a particular strength of the work-to-date being the engagement with the HRA stakeholder community. The suggested improvements related to refining / improving the governance arrangements across SIP, HRA Approval and Research Systems and ensuring any interdependencies are managed appropriately. Ensuring staff have the capacity and capability to respond to SIP was another suggested area for further consideration. | | HRA Business Continuity Planning (BCP) | **MODERATE** | 1 | 3 | 0 | The review found an adequate BCP framework to be in place with roles, responsibilities and documents clearly defined and embedded. Minor improvements to the process were suggested with the high level recommendation relating to the testing of BCPs. Management has agreed to undertake test scenarios on two key risks; systems and people. |   *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 was assured the delivery of the HRA Audit plan was on track for 2017/18 and the recommendations from audits conducted in 2016/17 were in the process of being implemented as required. |
| **Assurance Mapping Framework**  The Committee reviewed the assurance map for the first time and agreed it was a good work in progress. The map would display a baseline measure of assurance in place across the HRA and should be finalised by March 2018. The map would support the management consideration of assurance requirements in business areas and help define audit activity by HGIAS and HRA Quality Assurance in the future. |
| **Volunteer membership**  The Committee reviewed a paper which set out the current levels of volunteer membership and the avenues available to the HRA to understand views of its volunteers.  The Committee was reassured that the HRA has a good grasp on issues affecting its members however agreed further work to understand the views of members and greater engagement would be beneficial for the organisation. The Committee noted the Corporate SIP has a Volunteer arm which would be exploring these issues further and agreed an update should come to the Committee in 6 months’ time. |
| **Risk deep dive : Social Care**  Amanda Hunn, Joint Head of Policy, gave a presentation to the Committee which explored some of the issues and uncertainties with regard to social care research. Martin Stevens , Social Care REC Chair / Senior Research Fellow, King’s College London (KCL) and John Woolham, KCL also joined to aid the Committee’s understanding of relevant issues.  The Committee noted there are considerable unknowns, such as the level of research activity and the understanding of responsibilities of various parties, alongside known issues such as duplication of review between parties. The Committee agreed further in-depth exploration is required however recommended the issue be escalated to the HRA Board for further consideration and prioritisation of action. |
| **HRA Corporate Risk Register Quarter 2 2017/18**  The Committee noted the risk register for Q2 2017/18. The Committee questioned whether any steps could be undertaken to improve the impact scores as only the likelihood scores had moved in recent quarters. |
| **UPCOMING MEETING TOPICS** | * Review draft HGIAS Audit Plan 2018/19 * Forward plan of risk deep dive topics * Update on potential additional Committee members |