**AUDIT AND RISK COMMITTEE MEETING SUMMARY**

**Key summary points from the Audit and Risk Committee meeting held on 14 February 2018**

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| **COMMITTEE GOVERNANCE** | **01 November 2017, HRA 1, Skipton House**   * Inquorate – no decisions were able to be taken at the meeting. A further meeting involving the Chair of the HRA was held to ratify one decision. * Attendance (membership) – 2/4 |
| **KEY BUSINESS CONDUCTED** | **GDPR compliance**  A discussion was held regarding the HRA’s approach to the requirements of GDPR internally for the HRA, as opposed to its external role. The Committee noted a GDPR compliance audit is planned in the 2018/19 Health Group Internal Audit Service Audit plan. The Information Governance Steering Group is responsible for ensuring the HRA is prepared for the new regulations with updates to be brought to the Leadership Team in due course. |
| **HGIAS Assurance reports and delivery of audit plan**   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Review** | **Assurance level** | **Findings** | | | **Comments** | | **H** | **M** | **L** | | HRA Staff Learning & Development | **MODERATE** | 0 | 1 | 1 | The Committee noted good progress had been made on the Learning & Development Programme since its inception. The medium recommendation related to whether a high learning needs analysis should be conducted however the Committee accepted, due to the transformational changes taking place, the timing was not appropriate however one would be conducted in due course. |   *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 with the final remaining audits underway. The Audit plan for 2018/19 is in the processes of being finalised and would be shared in the near future. |
| **Business Continuity Plan (BCP) HGIAS Audit recommendations**  The Committee noted a practice incident was recommended as part of the findings from the recent BCP audit. The Committee noted a test has been scheduled for 14 March for senior staff in the HRA with observers also attending from NHS Blood and Transplant. An update will be brought to a subsequent Committee meeting. |
| **Research Systems Business Case**  The Committee noted the business case had already been approved by the Board with ministerial approval now received. The Committee noted PWC had been appointed as the procurement partner with an options appraisal being developed to support the supplier procurement phase. The Committee noted the tight time scales however recommended sufficient time be given for the second procurement phase and agreed a prior information notice (PIN) should be made. |
| **Options Appraisal for IMS3 replacement**  The Committee supported the recommendation to proceed with the Future Services Programme. This was subsequently approved via delegated authority from the Board by Chair’s action after the meeting. |
| **Assurance Mapping Framework**  A more substantive item would be brought to the May Audit Committee to consider the completed assurance map and review the framework strategy including how the HRA can utilise the map most effectively. |
| **HRA Corporate Risk Register Quarter 3 2017/18**  The Committee noted the risk register for Q3 2017/18. The Committee noted the systems risks had been closed or deescalated from the Corporate risk register however there was a comprehensive risk register held at the directorate level. The Committee recommended the appropriateness of the escalation of certain systems risks to the corporate register be considered in Q4. |
| **UPCOMING MEETING TOPICS** | * Approve HGIAS Audit Plan 2018/19 * Review Audit Committee ToR and Manual * Review Assurance map and framework |