**AUDIT AND RISK COMMITTEE MEETING SUMMARY**

**Key summary points from the Audit and Risk Committee meeting held on 02 May 2018**

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| **COMMITTEE GOVERNANCE** | **02 May 2015, HRA 1, Skipton House**   * Quorate * Attendance (membership) – 4/4 |
| **KEY BUSINESS CONDUCTED** | **HGIAS Assurance reports and delivery of audit plan**   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Review** | **Assurance level** | **Findings** | | | **Comments** | | **H** | **M** | **L** | | Development and implementation of externally facing HRA policies and guidance | **MODERATE** | 0 | 3 | 4 | Recommendations related to definition of roles and responsibilities, development of a process documentation to promote consistency for external guidance and development of a process to document and provide audit trail of stakeholder analysis. | | Key financial controls | **SUBSTANTIAL** | 0 | 0 | 0 | Zero recommendations. The Committee congratulated the finance team for an excellent audit. | | Programme & Project Management review – SIP | **MODERATE** | 0 | 4 | 0 | Recommendations related to setting out governance arrangements and the requirement for benefits to have baseline data and be tracked after transition to BAU. | | Effectiveness of the Confidentiality Advisory Group function | **MODERATE** | 0 | 2 | 1 | Recommendations related to clarifying obligations and formalising the framework in relation to CAG providing advice to NHS Digital and establishing a mechanism for CAG to self-evaluate own effectiveness. | | Recommendation Follow-up | **ADVISORY** | - | - | - | Recommendations from previous audits adequately implemented. |   *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*  A moderate assurance was provided by the HGIAS HRA’s Head of Internal Audit for 2017/18 which will be included in the HRA Annual Report and Accounts. |
| **Emergency incident scenario**  The Committee received a verbal update regarding the test incident which had related to a Ransomware demand affecting the IRAS and HARP research systems. The Committee noted those involved had responded well to the scenario with a full report to be considered at a future meeting. |
| **Draft HRA Internal Audit Plan 2018/19**  The Committee reviewed and approved the proposed Internal Audit Plan for 2018/19. The Committee recommended the key financial controls audit be reduced in time or removed from the plan following the substantial rating received recently. Instead, the Committee recommended resource is assigned to consider the HRA’s preparedness for Brexit above and beyond the work in relation to the preparedness for the Clinical Trials Regulations which already has an audit planned for Q3. |
| **Assurance Mapping Framework**  The Committee reviewed and approved the proposed assurance mapping framework which sets out how future reviews would be undertaken. These would follow a three pronged approach depending on the level of risk and strategic importance to the organisation with a self-assessment, a corporate review audit conducted by HRA QA team or an audit by HGIAS or other external providers being undertaken. |
| **Annual Accounts 2017/18**  The Committee reviewed the draft accounts noting the external audit is currently in progress. The full annual report and accounts would be reviewed and approved at the subsequent meeting. |
| **HRA Corporate Risk Register Quarter 4 2017/18**  The Committee reviewed and approved the latest risk register noting the movement in risks with more focus on research systems and GDPR preparedness. |
| **Deep Dive into data and consent**  A discussion was held regarding the HRA’s internal preparedness for GDPR and also the HRA’s role in developing guidance for researchers and others. The Committee noted much of the work to develop and provide guidance to the research sector was complete however one issue, outside of the HRA’s control, related to how aware and ready other organisations are. |
| **UPCOMING MEETING TOPICS** | * Review and approve annual report and accounts * Deep dive into research systems procurement |