**AUDIT AND RISK COMMITTEE MEETING SUMMARY**

**Key summary points from the HRA Audit and Risk Committee meeting held on 05 February 2019**

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| **COMMITTEE GOVERNANCE** | **05 February 2019, HRA London Centre, Skipton House**   * Quorate * Attendance (membership) – 4/4 * Welcome to Richard Cooper and Andrew George as new Audit & Risk Committee members joining Graham Clarke and Marc Taylor |
| **KEY BUSINESS CONDUCTED** | **Risk Deep Dive: Strategic Risk Register**  The Committee discussed the format of the register and agreed it would be beneficial to provide some clarification regarding the terminology to ensure everyone understands the information e.g. clarity on the different types of risk scores (inherent, residual, tolerance threshold). The Committee agreed an additional column detailing the current risk score and an understanding of how the threshold scores have been decided upon would also be beneficial.  The Committee agreed it would be helpful to understand how the strategic risk register links with the corporate risk register. The Committee agreed it would be beneficial to compare the risk scores, in particular the likelihood score, against other risks to ensure they appear consistent.  The Committee noted the risk relating to the regulation of social care (SR006) had been removed from the strategic register as the recent work conducted had allayed the HRA’s concerns to some extent. |
| **Corporate Risk Register Quarter 3 2017/18**  The Committee reviewed and noted the Corporate Risk Register for Quarter 3 2018/19. |
| **Delivery of HRA HGIAS Audit Plan 2018/19**  The Committee noted the plan was on track with one audits completed in Quarter 3.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Review** | **Assurance level** | **Findings** | | | **Comments** | | **H** | **M** | **L** | | Strategic Financial Management | **ADVISORY** | N/A | N/A | N/A | Overall, the HRA has effective strategic financial management processes in place to ensure it achieves its strategic objectives |   *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* |
| **HRA HGIAS Audit Plan 2019/20**  The Committee reviewed and approved the draft audit plan for 2019/20. |
| **HRA Assurance Mapping update**  The Committee noted the recent assurance mapping work conducted, largely within the HRA Approvals Directorate, with the self-assessment checklist tested as part of the application validation under consideration process. The Committee noted the future assurance mapping worked planned for the remainder of 2019; Research Ethics Committee (REC) member categorisation, amendments, Confidentiality Advisory Group (CAG) processes, document control and records management.  The Committee agreed it would be useful to understand some of the work conducted in more detail in the future and a deep dive type presentation to highlight the value added by the assurance work on a particular area would be appropriate. |
| **Update on Brexit**  The Committee noted the activity relating to Brexit was increasing with the HRA required to respond to an increasing number of requests from Government, largely in relation to scenario planning. The Committee noted, to monitor the HRA’s Brexit readiness, weekly internal meetings of senior managers were being held.  In particular, the Committee discussed the implications of Brexit on the International Conference on Harmonisation Good Clinical Practice (ICH GCP) and data flows. |
| **UPCOMING MEETING TOPICS** | * Approve final HRA Annual Assurance Plan 2019-20 * Review scheme of delegation * Review Quarter 4 Risk Register * Review Assurance Mapping Framework * Deep dive topic – Transparency (to be confirmed) |