

NHS Blood and Transplant

Audit Risk and Governance Committee

Annual Report 2021/22

1 PURPOSE OF THE REPORT

The Audit Risk and Governance Committee has prepared this report for the Board, to describe how the Committee has satisfied its Terms of Reference during 2021/22.

2 CONSTITUTION

The Audit Risk and Governance Committee (the Committee) is constituted as a standing committee of the NHSBT Board. The Committee is a non-executive committee and has no executive powers, other than those specifically delegated to it through these Terms of Reference (ToR).

3 OVERVIEW

The Committee is responsible for ensuring the establishment and maintenance of an effective system of governance, risk management and internal control, across the whole of the organisation's activities (clinical, quality management / compliance, financial and operational), that supports the achievement of the organisation's objectives. . The specific duties of the Committee are described in its Terms of Reference.

4 MEMBERSHIP

The Committee membership in respect of the financial year 2021/22 was:

Piers White	Non-Executive Director / Chair
Deirdre Kelly	Non-Executive Director
Phil Huggon	Non-Executive Director

The following officers in regular attendance:

Rob Bradburn	Finance Director
Gail Mifflin	Director of Clinical Services
Helen Gillan	Director of Quality
Wendy Clark	Chief Digital Information Officer

5 COMPLIANCE WITH TERMS OF REFERENCE

Formal meetings of the Finance Committee were held on:

- 21st May 2021

- 17th June 2021
- 9th July 2021
- 7th September 2021
- 11th November 2021
- 20th January 2022
- 17th March 2022

The quorum for any meeting of the Committee shall be attendance of a minimum of 2 Members. All meetings during 2021/22 were quorate.

6 DUTIES AND FINDINGS

In July 2022 Audit Risk and Governance Committee undertook a comprehensive review of the committee's compliance against the terms of reference. The Committee has consistently met its duties as delegated by the Board and evidenced this in a RAG rated document. Three areas were recognised to be amber and require improvement to close gaps in 2022/23, there were:

1. ***Review the adequacy of the policies for ensuring compliance with relevant regulatory, legal and code of conduct requirements*** – The Committee noted strong controls for monitoring regulatory compliance through audits and the regulatory radar (a standing paper at each Committee). However, there is not yet an adequate means of providing evidence and assurance against NHSBT's compliance with legal requirements. It will be important to ensure the ongoing development of assurance mapping to close this gap in 2022/23.
2. ***Committee will primarily utilise the work of Internal Audit, External Audit, Clinical Audit and if applicable other assurance functions, but will not be limited to these audit functions. It will also seek reports and assurances from Directors and managers as appropriate.*** – The Committee acknowledged that assurances had been sought from management on issues of concern such as Mandatory training, staffing and functional standards. This item is reporting as amber as although the Committee receives updates, certain issues, such as mandatory training, are not yet satisfactorily resolved.
3. ***Consideration of the major findings of internal audit work, the effectiveness of management's response and the timeliness of follow up actions*** – Reporting as amber due to the number of long standing actions where deadlines have been revised on several occasions.

7 WORKPLAN 2022/23

In accordance with its ToR, the Committee will meet six times in 2021/22, in the months between Board meetings (excluding August). The tasks of the Committee are established by a set agenda the Committee will continue to monitor the annual work plan and prioritise the above areas a focus for improvement in 2022/23.

8 CONCLUSION

The Committee has appropriately discharged its duties under the Terms of Reference and delegated authority from the Board during 2021/22.

Author Katrina Smith – Company Secretary
NED Sponsor: Piers White – ARGC Chair
July 2022