

<p><b>Standard 4 :</b>  <i>The governing body bases its decisions on good quality information and advice, and identifies and mitigates risks to the organisation's purpose.</i></p>	<p><b>Related Documents / Processes</b></p>	<p><b>Assurance Evidence and Actions Required</b></p>
<p><b>4.1</b> The governing body ensures it receives good quality information and advice from staff and, where necessary, expert independent advisors, that is timely and appropriate to its strategic role and decisions.</p> <p>It is able to evidence any of its decisions.</p>	<ul style="list-style-type: none"> <li>• Annual Strategic Review and Plan</li> <li>• Staff Reports</li> <li>• Auditor Reports</li> <li>• <b>Legal Advice</b></li> <li>• Consultant Appointments</li> <li>• SHR Landlord Reports</li> <li>• <b>Performance Monitoring Reports</b></li> </ul>	<ul style="list-style-type: none"> <li>• November 2019 Review Programme</li> <li>• 2019 Review Presentation</li> <li>• Strategy Review Report</li> <li>• Management Letter 2019</li> <li>• MC Briefing Sessions 2019-20</li> <li>• Summary of MC Decisions 19-20</li> <li>• <b>List of external consultant appointments 2019-20</b></li> <li>• <b>2020 ARC Report</b></li> </ul>
<p><b>4.2</b> The governing body challenges and holds the senior officer to account for their performance in achieving the RSL's purpose and objectives.</p>	<ul style="list-style-type: none"> <li>• Governance and Reporting Structure</li> <li>• Strategic Planning</li> <li>• Financial Planning</li> <li>• Roles and Remits</li> <li>• Minutes of Meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Remit of Chief Executive Sep 2019</li> <li>• Minutes of all MC meetings</li> <li>• MC Agenda Items</li> <li>• <b>Review of Chief Executive's Appraisal Process</b></li> </ul>
<p><b>4.3</b> The governing body identifies risks that might prevent it from achieving the RSL's purpose.</p> <p>It has effective strategies and systems for risk management and mitigation, internal control and audit.</p>	<ul style="list-style-type: none"> <li>• Risk Management Policy March 2019</li> <li>• Risk Register Updates 2019-20</li> </ul>	<p><u>Risk Register Updates</u></p> <ul style="list-style-type: none"> <li>• <b>Housing Management Feb 2020</b></li> <li>• <b>Factoring Jan 2020</b></li> <li>• <b>Health and Safety Feb 2020</b></li> <li>• <b>IT Jan 2020</b></li> <li>• <b>GDPR Feb 2020</b></li> <li>• <b>Maintenance Mar 2020</b></li> <li>• <b>Finance April 19</b></li> <li>• <b>Governance April 19</b></li> </ul>
<p><b>4.4</b> Where the RSL is the parent within a group structure it fulfils its responsibilities as required in our group structure guidance:</p>	<ul style="list-style-type: none"> <li>• Not applicable to YHA</li> </ul>	

<p><b>4.5</b> The RSL has an internal audit function. The governing body ensures the effective oversight of the internal audit programme by an audit committee or otherwise. It has arrangements in place to monitor and review the quality and effectiveness of internal audit activity to ensure it meets its Assurance needs in relation to regulatory requirements and the Standards of Governance and Financial Management.</p> <p>Where the RSL does not have an audit committee, it has alternative arrangements in place to ensure the functions normally provided by a committee are discharged.</p>	<ul style="list-style-type: none"> <li>• Appointment letter</li> <li>• Terms of appointment</li> <li>• Internal Audit Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Report to MC 26.6.19</li> <li>• Internal Audit Plan 2019-20</li> <li>• Remit of Services Sub-Committee Sep 2019</li> <li>• Remit of Governance and Finance Committee Sep 2019</li> <li>• <i>All audit reports</i></li> </ul>
<p><b>4.6</b> The governing body has formal and transparent arrangements for maintaining an appropriate relationship with the RSL's external auditor and its internal auditor.</p>	<ul style="list-style-type: none"> <li>• External Auditor Review 2019</li> <li>• Internal Auditor Review 2019</li> <li>• Engagement letters</li> </ul>	<ul style="list-style-type: none"> <li>• Letter of engagement external</li> <li>• Letter of engagement internal</li> </ul>