

# Audit and Governance Committee

## Strategic delivery:

 Setting standards

 Increasing and informing choice

 Demonstrating efficiency economy and value

## Details:

Meeting                      Audit & Governance Committee

Agenda item                      5

Paper number                      AGC (03/10/2017) 561

Meeting date                      3 October 2017

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## Output:

For information                      To provide an update to the Audit and Governance Committee on progress against the current Internal Audit plan.

Progress Update                      Good progress is been made against the agreed plan. The Final Report for the Data Loss review was issued on the 25th October, with the review awarded a Moderate rating. Fieldwork has also commenced on the Risk Management review, with a draft report expected early October. A meeting to discuss the scope of all remaining audits on the plan will take place on 28th September, with Terms of Reference to be issued shortly afterwards.

Actions from previous meeting                      1) The number of days allocated to the Risk Management audit have been reduced to 7, with 3 days added to the Data Loss audit;  
2) We will be looking to develop a three year Internal Audit plan for HFEA for 2018/19 onwards.

Organisational risk                       Low                       Medium                       High

Annexes                      Annex A - Progress against the latest iteration of the HFEA Internal Audit plan 2017/18

Annex B - The Final Report for the Data Loss review, which has been given a MODERATE assurance rating.

## Annex A

## HUMAN FERTILISATION & EMBRYOLOGY AUTHORITY INTERNAL AUDIT PLAN 2017/18

Audit Ref No	Audit Title	Audit Review Detail	Directorate/Grouping	Current Status (25/9/17)	Quarter Review Due to Start	Days Indic' and Agreed	Notes
1	Data Loss	This audit will review the controls around the key risk that HFEA data is lost, becomes inaccessible, is inadvertently released or is inappropriately accessed.	Compliance & Information	Final Report	Q1	13	As agreed at the June Audit and Governance Committee meeting, extra days were moved to this review, from the Risk Management audit.  Final report issued on 25 <sup>th</sup> September.
2	Risk Management and Governance	Overview of general governance, risk management and assurance arrangements. Review will focus on ensuring there is a formal governance structure in place, that key risks are identified, that they are reflected accurately within the assurance framework and are a key focus for the HFEA Board.	Strategy and Corporate Affairs	Fieldwork	Q2	7	Fieldwork is nearing completion with a draft report expected in early October.
3	Financial Controls	This is a standard key financial controls review. We will identify and review key financial processes and controls operated by HFEA as well as consider any potential overlaps with HTA.	Finance & Resources	Not started	Q3	10	Audit to be aligned with HTA audit – early October start  Scoping meeting with Richard Sydee on 28th September

4	General Data Protection Regulation	This will consider the state of preparations for the introduction of this regulation in May 2018. An audit at this stage will be useful to give assurance to the Audit and Governance Committee and to give time for any recommendations to be implemented.	Compliance and Information	Not started	Q3/Q4	10	Audit to be aligned with HTA audit – early October start  Scoping meeting with Richard Sydee on 28th September
5	Follow up recommendations	Follow up of agreed recommendations of previous Audits. A summary of findings and results to be presented at each ARC	Various	Not started	Q3/Q4	5	Scope of this work to be discussed with Richard Sydee on 28th September