

Audit and Governance Committee Paper

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| Paper Title: | Matters arising from previous AGC meetings |
| Paper Number: | [AGC (05/12/2017) 572 MA] |
| Meeting Date: | 5 December 2017 |
| Agenda Item: | 3 |
| Author: | Morounke Akingbola, Head of Finance |
| For information or decision? | Information |
| Recommendation to the Committee: | To note and comment on the updates shown for each item. |
| Evaluation | To be updated and reviewed at each AGC. |

Numerically:

- 9 items added from October 2017 meeting, 6 ongoing
- 3 items carried over from earlier meetings, 2 ongoing

| ACTION | RESPONSIBILITY | DUE DATE | PROGRESS TO DATE |
|---|--|----------|---|
| Matters Arising from Audit and Governance Committee – actions from 7 December 2016 meeting | | | |
| 11.6 Head of IT to provide the Audit and Governance Committee with regular updates on Cyber Security. | Head of IT | | Ongoing |
| Matters Arising from Audit and Governance Committee – actions from 13 June 2017 meeting | | | |
| 8.11 The Director of Finance and Resources to explore the potential to surplus funds to commission research on the data held by the Authority. | Director of Finance and Resources | | Completed |
| 15.2 The Director of Finance and Resources to ensure the Committee remains updated with regards to the outcome of the investigation | Director of Finance and Resources | | Ongoing - An update will be provided at the December 2017 meeting |
| Matters Arising from Audit and Governance Committee – actions from 3 October 2017 meeting | | | |
| 4.7 The Director of Compliance and Information and the Head of Planning and Governance to ensure all new, and established, Authority and Committee members receive the mandatory e-learning 'responsible for information training' regularly. | Director of Compliance and Information and the Head of Planning and Governance | | Ongoing - An update will be provided at the December 2017 meeting |
| 6.5 NAO to update the current wording, regarding fraud, in the audit planning report and re-issue for inclusion in the published committee papers. | NAO | | Completed |

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| <p>6.6 The Director of Finance and Resources to create a training plan for the Committee, ensuring sessions are scheduled to occur on the same dates as planned meetings.</p> | <p>Director of Finance and Resources</p> | | <p>Ongoing - An update will be provided at the December 2017 meeting</p> |
| <p>7.12 The Director of Compliance and Information to provide the Committee with a progress update on the data submission project, based on clear metrics, before the next Authority meeting in November.</p> | <p>Director of Compliance and Information</p> | | <p>This is covered under agenda item 9</p> |
| <p>8.5 The Chief Information Officer to ensure all new and existing Committee members have access to O365 set up quickly, with the correct permissions, including the ability to view the business continuity SharePoint site in O365.</p> | <p>Chief Information Officer</p> | | <p>Ongoing - An update will be provided at the December 2017 meeting</p> |
| <p>9.11 To ensure that the Authority member responsible for cyber security is informed of any issues.</p> | <p>Chief Information Officer</p> | | <p>Ongoing</p> |
| <p>9.12 To ensure all staff receive cyber security training.</p> | <p>Chief Information Officer</p> | | <p>In progress - Staff have been made aware that training is being planned.</p> |
| <p>9.13 The Risk and Business Planning Manager to update the Strategic Risk</p> | <p>Risk and Business Planning Manager</p> | | <p>Completed - An update will be provided at the December 2017 meeting</p> |

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| <p>Register to include an explanation of the tolerance levels.</p> | | | |
| <p>11.3 The Head of Planning and Governance to investigate whether a deferral of the item on activities, effectiveness and terms of reference, from the 5 December 2017 Committee meeting, would have any implications for other Authority business and confirm with the Chair</p> | <p>Head of Planning and Governance</p> | | <p>Completed - Head of Planning and Governance has confirmed with Chair this can be deferred from the 5 December 2017 meeting,</p> |

Audit and Governance Committee

Strategic delivery:

 Setting standards

 Increasing and
informing choice

 Demonstrating efficiency
economy and value

Details:

Meeting Audit & Governance Committee

Agenda item 5b

Paper number AGC (05/12/2017) 574

Meeting date 5 December 2017

Author Jeremy Nolan

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 HFEA Risk Management was issued on the 29th November, with the review awarded a Moderate rating. The fieldwork has also commenced on the Financial Controls and .Preparation for the General Data Protection Regulations reviews, with final reports expected to be issued in January 18. Work on the recommendation follow up review is also expected to commence in early December.

Actions from previous meeting 1) Jeremy to provide a verbal update on Cyclical Audit planning from 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 Risk Management 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 th 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 | Final Report | Q2 | 7 | Final report issued on the 29th November. |
| 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 | Fieldwork | Q3 | 10 | Audit to be aligned with HTA audit. Fieldwork commenced on the 22 nd November. |

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| 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 | Fieldwork | Q3/Q4 | 10 | Audit to be aligned with HTA audit. Fieldwork commenced in early November. |
| 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 | Fieldwork to commence in early December. |