

<b>Agenda item:</b>	12
<b>Attachment:</b>	A

## HRA Board Cover sheet

### 20 March 2024

<b>Title of paper:</b>	8 February 2024 HRA Audit & Risk Committee meeting summary
<b>Submitted by:</b>	Steve Tebbutt
<b>Summary of paper:</b>	To provide a brief summary of the matters discussed at the last HRA Audit & Risk Committee meeting.
<b>Reason for submission:</b>	For information
<b>Further information:</b>	See summary update
<b>Dissemination:</b>	Published on HRA website
<b>Time required:</b>	0 minutes

## Audit and Risk Committee Meeting Summary

Key Summary points of the Health Research Authority (HRA) Audit & Risk Committee meeting held on 8 February 2024

### Committee governance:

- Quorate (5 of 5 members in attendance).

### Key business conducted:

#### BGO infrastructure remedial work

- The Committee received an update on the latest position on the BGO remedial works. The BGO hardware has been replaced, the operating system and SQL Servers upgraded and that a period of 'watchful waiting' has been entered.

#### Government Internal Audit Agency (GIAA) audit plan for 2023/24

- The Committee noted delivery of the 2023-24 audit plan is progressing well with four audits completed to draft/final report stage, and the remaining two audits on track to be completed by 31 March 2024.
- Two advisory audit reports, for Organisational Design and for the Community Committee, had been received with HRA management working through the recommendations.

#### GIAA audit plan for 2024/25

- The Committee approved the planned audits for 2024/25 as follows:
  - Data Security & Protection Toolkit – Quarter 1
  - Functional standards – Quarter 1 (advisory)
  - Health & Safety - Quarter 2
  - Technical Assurances process review – Quarter 2
  - Budget management – Quarter 3
  - Capacity & Capability – Quarter 4 (advisory)

#### Assurance dashboard

- The Committee received and noted the assurance dashboard which provides an overview of open GIAA audits and Research Ethics Committee (REC) accreditation reviews.
- The Committee was pleased to learn that 6 GIAA recommendations have been closed with recommendations enacted.

#### Risk Management

- The Committee received and noted the Strategic Risk Register, noting the highest risk remains HRA001 relating to the risk to the successful delivery of the Research Systems Programme.
- The Committee received and approved the HRA Threat Assessment for 2024 which has been developed, utilising the HM Government National Risk Register 2023, to identify hazards that are external to the HRA which may impact on the delivery of its services.

## **Business Continuity Exercise Report**

- The Committee received and noted the business continuity exercise report which provided an overview of the desk top business continuity exercise which took place on 4 December 2023.
- The Committee acknowledged the importance of such exercises to provide assurance that the HRA has suitable policies and plans to respond to emergency and business continuity incidents, as recently demonstrated by the excellent handling of the January major IT incident.

## **Scheme of delegation, standing financial orders and standing orders**

- The Committee received and approved the updated Standing Orders, Standing Financial Instructions and Scheme of Financial Delegation

## **Government Functional Standards**

- The Committee received and noted the functional standards summary which provides the latest position regarding the September 2021 requirement of accounting officers to ensure that all 'shall' statements in the respective functional standards are put in place by 31 March 2022.
- The Committee acknowledged due to the size and nature of the HRA, a proportionate approach is likely to be adopted to meeting some functional standards. The Committee agreed it may be beneficial to consider what is meant by proportionality and how an organisation decides what proportional means, as a future deep dive topic.

## **Audit Planning report on the 2023-24 financial statements audit**

- The Committee received and noted the Audit planning report on the 2023-24 financial statements audit.