Audit and Risk Assurance Committee (ARAC)

**Date:** 19 October 2023

**Paper reference:**

**Agenda item:** 4

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Matters arising from previous ARAC meetings

Purpose of paper

1. To provide an update to ARAC on the actions arising from previous Meetings. Colour coding used is blue = completed, green = on target and amber = at risk of not meeting target date.

# Decision making to date

1. The Director of Resources agreed this paper on 6 October for submission to ARAC.

# Action required

1. ARAC is to note the report.

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| **Number** | **Date** **Added**  | **Action**  | **Assigned to** | **Target date**  | **Revised date**  | **Status**  |
| ARAC-2022\_07 | Jan 22 | **Change Programme**Executive to investigate Fraud Awareness training opportunities for the Autumn meeting. | Director of Resources and Head of Finance & Governance  | Oct 22 | Oct 23 | **Completed.** |
| ARAC\_2022\_28 | Jan 23 | **Matters arising from 9 June** **2022**Executive to amend the matters arising report to include key colour.  | Board Support  | Feb 23 |  | **Completed** |
| ARAC\_2023\_02 | Jan 23 | Internal AuditThe Committee agreed the proposed 23/24 Internal Audit Plan and noted the October 2022 GIAA supplementary report | Director of Resources and Head of Finance & Governance | Feb 23 |  | **Completed**  |
| ARAC\_2023\_03 | Jan 23 | **Cyber Security Update** Executive to consider the format of the cyber security report.  | Director of Data, Technology & Data | May 23 |  | **Completed - presented at 8 June meeting** |
| ARAC\_2023\_04 | Jan 23 | **HTA Summary of Audit Recommendations**The Committee noted the report and accepted the recommendations on page 2 and 3 of the audit tracker report. | Head of Resources | May 23 |  | **Completed.**  |

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| **Number** | **Date added** | **Action** | **Assigned to** | **Target date** | **Revised date** | **Status** |
| ARAC\_2023\_05 | Jan 23 | **External Audit**Director of Resources to provide a timeline note for the Committee regarding the preparation and review of the audited accounts. | Director of Resources | Feb 23 | June 23 | **Completed**  |
| ARAC\_2023\_06 | Jan 23 | **Sector Risk Assessment**Lead of the Private Office to ensure that Sector Risk Assessment is on the Committee’s work plan for January 2024. | Lead of the Private Office | May 23 |  | **Completed** |
| ARAC\_2023\_07 | Jan 23 | **Consideration of risk appetite and tolerance within the HTA** The Executive to redraft wording for risks 2, 3 and 7 and circulate to Members for review and approval.  | SMT | Feb 23 |  | **Completed** |
| ARAC\_2023\_08 | Jan 23 | **Consideration of risk appetite and tolerance within the HTA** The Executive to include a key to the levels of tolerance within the revised document. | Director of Resources | May 23 |  | **Completed.** |
| ARAC\_2023\_09 | Jan 23 | **Whistleblowing Policy and Procedure** The Committee agreed the amended Whistleblowing Policy | Head of Finance & Governance | April 23 |  | **Completed.** |

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| **Number** | **Date** **Added**  | **Action**  | **Assigned to** | **Target date**  | **Revised date**  | **Status**  |
| ARAC\_2023\_10 | Jan 23 | **ARAC Workplan**Lead of the Private Office and ARAC Chair to develop a more detailed workplan for the Committee | Lead of the Private Office | May 23 |  | **Completed.** |
| ARAC\_2023\_11 | Jan 23 | **ARAC Terms of Reference**The Executive to amend section 18 and 31 as per the Committee’s discussion and present to the Board for approval. | Director of Resources and Head of Finance & Governance | March 23 |  | **Completed.** Amendment made 06-02-23 and presented to Board March 2023. |
| ARAC\_2023\_12 | Jan 23 | **Gifts and Hospitality Register**Reminder to be sent to staff that all offers of gifts and hospitality must be reported in a timely manner | Director of Resources and Head of HR | May 23 |  | **Completed.** Item included in February staff newsletter. |