

| Date of issue | UKHSA Group                               | Subject of GIAA Audit   | GIAA Assurance Rating | Recommendations by priority: made by GIAA / delivered by UKHSA / Overdue |   |   |        |    |   |     |   |   |
|---------------|---|---|-----------------------|--|---|---|--------|----|---|-----|---|---|
|               |   |   |                       | High   |   |   | Medium |    |   | Low |   |   |
| 04/2022       | People                                    | HR – Conflict of Interest   | Limited               | 4  | 2 | 1 | 8      | 3  | 5 | 1   | 0 | 1 |
| 06/2022       | <i>Finance &amp; Corporate Services</i>   | <i>Risk Management</i>  | <i>Limited</i>        | 5  | 5 | 0 | 9      | 9  | 0 | 2   | 2 | 0 |
| 06/2022       | <i>Finance &amp; Corporate Services</i>   | <i>Dysport Royalties</i>  | <i>Substantial</i>    | 0  | 0 | 0 | 0      | 0  | 0 | 0   | 0 | 0 |
| 07/2022       | <i>Data, Analytics &amp; Surveillance</i> | <i>Data Protection Security Toolkit</i>                             | <i>Limited</i>        | 0  | 0 | 0 | 2      | 2  | 0 | 0   | 0 | 0 |
| 09/2022       | Data, Analytics & Surveillance            | Information Governance  | Limited               | 4  | 4 | 0 | 3      | 0  | 3 | 0   | 0 | 0 |
| 09/2022       | Strategy, Policy & Programmes             | Public Access – Fol / EIR   | Limited               | 4  | 3 | 0 | 8      | 7  | 0 | 0   | 0 | 0 |
| 09/2022       | <i>Finance &amp; Corporate Services</i>   | <i>Key Financial Controls (Governance &amp; Budget Management)</i>  | <i>Substantial</i>    | 0  | 0 | 0 | 3      | 3  | 0 | 0   | 0 | 0 |
| 10/2022       | <i>Finance &amp; Corporate Services</i>   | <i>Corporate Governance</i>   | <i>Unsatisfactory</i> | 3  | 3 | 0 | 12     | 12 | 0 | 1   | 1 | 0 |
| 10/2022       | Commercial                                | Contract Management   | Limited               | 6  | 5 | 1 | 2      | 1  | 0 | 3   | 2 | 1 |
| 10/2022       | Commercial                                | Procurement   | Limited               | 3  | 2 | 1 | 3      | 2  | 0 | 3   | 3 | 0 |
| 10/2022       | Clinical & Public Health                  | Clinical Governance   | Limited               | 1  | 1 | 0 | 7      | 3  | 4 | 1   | 1 | 0 |
| 11/2022       | <i>Heath Protection Operations</i>        | <i>Testing Ramp Down</i>  | <i>Moderate</i>       | 0  | 0 | 0 | 2      | 2  | 0 | 2   | 2 | 0 |
| 12/2022       | People                                    | Compliance with HR policies   | Limited               | 0  | 0 | 0 | 5      | 1  | 2 | 1   | 1 | 0 |
| 02/2023       | Technology                                | Security patching   | Limited               | 1  | 1 | 0 | 3      | 2  | 1 | 0   | 0 | 0 |
| 02/2023       | <i>Finance &amp; Corporate Services</i>   | <i>Corporate Governance follow-up: part 1</i>                       | <i>Limited</i>        | 1  | 1 | 0 | 0      | 0  | 0 | 0   | 0 | 0 |
| 03/2023       | <i>Finance &amp; Corporate Services</i>   | <i>Spend controls</i>   | <i>Limited</i>        | 3  | 3 | 0 | 2      | 2  | 0 | 3   | 3 | 0 |
| 03/2023       | Technology                                | IT Service Recovery Arrangements                                    | Limited               | 1  | 0 | 0 | 2      | 2  | 0 | 0   | 0 | 0 |
| 03/2023       | F&CS, Commercial                          | Purchase to Pay   | Limited               | 3  | 3 | 0 | 7      | 3  | 2 | 1   | 1 | 0 |
| 04/2023       | <i>Finance &amp; Corporate Services</i>   | <i>Corporate Governance follow-up: part 2</i>                       | <i>Moderate</i>       | 0  | 0 | 0 | 1      | 1  | 0 | 2   | 2 | 0 |
| 04/2023       | Finance & Corporate Services              | Health and Safety   | Limited               | 0  | 0 | 0 | 12     | 9  | 0 | 2   | 2 | 0 |
| 04/2023       | People                                    | Staff Onboarding checks   | Limited               | 5  | 0 | 3 | 5      | 2  | 1 | 0   | 0 | 0 |
| 04/2023       | People                                    | Workforce   | Limited               | 7  | 3 | 3 | 3      | 3  | 0 | 0   | 0 | 0 |
| 05/2023       | Commercial                                | Income Generation   | Limited               | 4  | 2 | 0 | 5      | 2  | 0 | 0   | 0 | 0 |
| 06/2023       | Strategy, Policy & Programmes             | <i>Strategic and Business Planning &amp; Performance Management</i> | <i>Unsatisfactory</i> | 7  | 7 | 0 | 3      | 3  | 0 | 0   | 0 | 0 |
| 06/2023       | SPP, HP Ops, DAS, Commercial              | Pandemic Preparedness – ability to supply clinical countermeasures  | Limited               | 8  | 6 | 1 | 4      | 2  | 1 | 0   | 0 | 0 |
| 06/2023       | Data, Analytics & Surveillance            | Data Security and Protection Toolkit                                | Limited               | 1  | 0 | 0 | 1      | 0  | 0 | 0   | 0 | 0 |
| 07/2023       | Finance & Corporate Services              | Employment Tax Compliance   | Limited               | 3  | 1 | 0 | 2      | 0  | 0 | 0   | 0 | 0 |
| 08/2023       | Science                                   | UKHSA Laboratories  | Limited               | 4  | 3 | 1 | 4      | 2  | 1 | 0   | 0 | 0 |
| 08/2023       | Finance & Corporate Services              | MaPs System – Key Controls  | Limited               | 4  | 2 | 0 | 6      | 3  | 1 | 2   | 1 | 0 |
| 08/2023       | <i>Finance &amp; Corporate Services</i>   | <i>Dysport Royalties</i>  | <i>Substantial</i>    | 0  | 0 | 0 | 0      | 0  | 0 | 0   | 0 | 0 |
| 10/2023       | Strategy, Policy & Programmes             | Portfolio Management  | Limited               | 0  | 0 | 0 | 7      | 2  | 0 | 0   | 0 | 0 |
| 11/2023       | Science                                   | Chemical and Radiation response                                     | Moderate              | 1  | 0 | 0 | 7      | 1  | 0 | 2   | 0 | 0 |

1. Closed actions are as confirmed by the UKHSA Governance, Risk & Assurance team
2. Audits shown in italics denote that all actions have been completed for the audit report in question
3. Red highlights show overdue actions where no substantive progress report has been received by GR&A in 2024 (see commentary in table below)
4. Orange highlights show overdue actions where progress has been reported recently to GR&A but implementation is not yet complete (see table below)
5. Discrepancies in numbers of recommendations made by GIAA / delivered by UKHSA / overdue relate to where actions that have not yet been implemented are not yet due (i.e. they are not overdue)