

Audit and Risk Committee

Report title: Compliance report

Meeting date: 24 April 2025

Time required: 5 minutes

Presenter: Louise Byers

RAPID Role: Scrutinise

Publication decision: This report can be published internally and externally without redactions

Problem Statement

Audit and Risk Committee members need to be aware of any compliance issues reported to the ICO via various routes, to ensure that appropriate action is being taken by management.

Input requested

The input requested is confirmation that ARC members are assured that management has responded appropriately to concerns which have been raised during the last quarter.

Background and summary

This report summarises reports of fraud, whistleblowing, insider trading, single tender contract awards and service complaint trends. It covers Quarter 4 of 2024/25 (1 January 2025 to 31 March 2025).

Fraud

No incidents of fraud were reported during this period.

One potential incident of fraud was highlighted during the previous period, and reported to ARC at the January meeting. We are continuing to look into this, and will update the Committee when we have further information.

Additional fraud awareness training and engagement has been completed in March 2025, with the Head of Risk and Governance and Group Manager attending the public sector Counter Fraud Conference 2025, to cultivate new connections, share good practice and understand the newest

prevention and detection tools. Further training was also completed by the Group Manager on tools and techniques for fraud resistance.

Several focus areas have been identified following the recent updates to our fraud risk assessment, on which we are currently conducting deep dives, including the risk around employee fraud. We are looking into further metrics and performance data so that we can understand how the controls in these areas are working in practice and if they are effective.

Whistleblowing

No whistleblowing complaints were reported during this period.

Insider trading

Insider lists are being maintained. No reports of concerns about insider trading were made during this period.

Single tender contract awards

The Audit and Risk Committee receives a report at each of its meeting regarding any single tender contracts over £50k. During the quarter there has been one single Tender Award contract over £50k awarded:

Supplier: Ipsos Iris

Service: Online audience measurement tool data

Value: £115,252

Duration: 2 years from 13/02/25

Service complaint trends

The production of the service complaints trends report has been paused while the recommendations from the service complaint internal audit are taken on board. The team has developed a new template which is currently being tested, and expects to be able to report to ARC in this new format from the June meeting onwards.

The original report provided a very small snapshot of those complaints which were sent directly to Management Board members (rather than via the usual complaints routes). The team is still tracking escalated emails and ensuring that they are dealt with appropriately, with a management focus on any welfare concerns about senders.

Author: Fiona Wilcock

Contributors: Paul Arnold, Ailsa Beaton, Stephen Bonner, Louise Byers, Claire Churchill, Roger Crowley, Andy Curry, Angela Donaldson, Suzanne

Gordon, Mark Graves, Sally-Anne Poole, Helen Raftery, Tony Uttley, Vikki West, Margaret Wilson-Savage, Tommy Collins (GIAA), Sarah Self (GIAA)

Nil response from: DSIT partnership team

Reviewers: Jo Butler

Sign off: Jen Green