



Committee/Group Chair's Report

Agenda Item: P1/013/20

Name of Committee/Group	Audit Committee	Reporting to:	Trust Board
Date of the meeting:	21 July 2020	Parent Committee:	Trust Board
Chair:	Mark Tattersall	Quorate (Y/N)	Y

Agenda Item:	RAG	Key Points	Actions Required/Action Lead	Expected Date for Completion
MIAA - Internal Audit Progress Report		Business Unit Governance: The Committee noted that substantial assurance had been received with five low risk recommendations. A number of areas of good practice had been demonstrated. The Committee noted the end date for completion of the agreed actions was June but delayed due to the impact of Covid-19.	The Committee agreed that the action plan for completion of the agreed actions be presented to the October Audit Committee via the Audit Tracker.	October 2020
MIAA – Internal Audit Progress Report		Service Review – Breast and lung SRGs: The Committee noted that substantial assurance had been received with 3 medium and 4 low risk recommendations. The Committee noted the outcome of this review reflects the improvements in governance across the Trust.	Completion dates for actions flowing from the recommendations remains August.	August 2020
MIAA – Internal Audit Progress Report		HR/ESR Review: The Committee noted high assurance received with one low risk. The Chair highlighted that this is a	Completion of the action from the one low risk recommendation by June with an update to the next	October 2020

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		mandated annual review and for the second year running high assurance has been achieved. The Committee commended the Workforce and OD Team for all their work to deliver this level of assurance.	Committee on status	
MIAA – Internal Audit Progress Report		<p>Medical Devices (IM&T focus): the Committee noted that limited assurance had been received with two high, two medium risk recommendations.</p> <p>The Committee, although concerned to note the limited assurance opinion, was encouraged around the amount of collaboration ongoing in order to complete the actions; the deadline for completion initially agreed for July 2020 but revised dates to be agreed.</p> <p>Given the range of cross Directorate issues raised within the report and the various managers tasked to deliver actions, the Director of Finance was asked to consider the effectiveness of the current governance and management oversight framework of this increasingly important and complex area.</p>	Action plan to be developed and deadlines agreed; for review at the next Audit Committee	October 2020
MIAA – Internal Audit Progress Report		<p>Data Quality/Business Intelligence: The Committee noted that substantial assurance had been received with four medium and one low risk recommendations.</p> <p>The Committee further noted that the review included a deep dive into the data recording of sepsis and VTE which the Committee acknowledged had already</p>	Actions due for completion by December 2020	December 2020

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		received much visibility at Board level and further acknowledged the improvement over the last 18 months in relation to the governance structure and framework.		
MIAA – Internal Audit Progress Report		<p>Assurance Framework Review: The Committee noted the amber status of the Assurance Framework, acknowledging that a number of changes have taken place in year to the Board Assurance Framework.</p> <p>The Committee recognised that further work is ongoing in the development of the Risk Appetite Statement to support the ongoing governance.</p>	Risk Appetite to be developed in conjunction with the Board.	October 2020
MIAA-Internal Audit Progress Report		Cyber Essentials Follow Up: The Committee noted the ongoing progress in relation to the application of secure boundaries on our devices and firewalls and that evidence had been received that our risks are being managed.	Actions continue to be progressed with the Committee acknowledging the difficulties of end dates with this particular subject matter.	Ongoing
Audit Tracker		The Committee welcomed the revised format of the Audit Tracker and discussed some additional formatting matters.	Additional formatting to be carried out in addition to inclusion of the Internal audit Reviews discussed at the Committee.	October 2020
External Audit		<p>The Committee raised concerns in relation to the delays incurred in External Audit completing their audit work.</p> <p>The final External Audit Report was received, discussed and noted.</p> <p>The Committee requested lessons learnt exercise to be carried out and reported</p>	Lessons learnt to be arranged and completed.	October 2020

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		back to the next Audit Committee. In addition the Chair of the Audit Committee requested a private discussion with the relevant Director of Grant Thornton.		
Schedule of Outstanding Debt		The Committee noted the Trust has a number of aged debts which remain ongoing and requested additional commentary around actions that are being taken to resolve.	Additional commentary to be included in the next report.	October 2020
Management of Litigation and Inquests		The Committee welcomed the report and received assurance in relation to the processes which have been established to manage litigation within the Trust.	Quarterly reports to continue to the Audit Committee.	October 2020
Data Security & Protection Toolkit: Update		<p>The Committee noted that the 2020/2021 toolkit implementation had been deferred nationally due to Covid-19. It is likely that this will be re-instated from 1 October 2020 with a six month window to demonstrate compliance.</p> <p>The Committee further noted that some of the non-mandatory requirements have been converted to mandatory and a work plan is being developed.</p>	Update and work plan to be presented at the next Audit Committee.	October 2020

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Board Assurance Framework – Quarter 1		<p>The Committee received and welcomed the revised format of the BAF which gives a clearer overview of the risks associated with the Strategic objectives in addition to providing more information around controls and assurances in place.</p> <p>The Committee acknowledged that the Trust Strategy is being renewed which will result in a refresh of the Strategic Priorities resulting in further amendment to the BAF.</p>	Additional work continues to ensure all controls and assurances in place and BAF risks have been fully reviewed.	October 2020

KEY

	ALERT the Committee on areas of non-compliance or matters that need addressing urgently
	ADVISE the Committee on any on-going monitoring where an update has been provided to the sub-committee and any new developments that will need to be communicated or included in operational delivery
	ASSURE the Committee on any areas of assurance that the Committee/Group has received