

Board of Directors (in Public)

Item 6.1.2

Subject: Audit Committee BAF Key Issues Report
Date of Meeting: 27th September 2022
Presented by: Julian Farmer, Audit Committee Chair
Meeting Held: 19th July 2022 (E-Meeting)

This report sets out the key assurances, risks and actions from the recent Committee meeting. Areas for escalation to the Board of Directors are included below as required.

Agenda Item	Lead Exec	Assurance Received	New/ Emerging Risks	Actions/Comments
3.1 Governance Manual	KWh	Full review and update of the Corporate Governance Manual.	None	Approved
3.2 Risk Management KPIs	KWh	Compliance with the risk management KPIs.	None	Actions progressing regarding the closure of incidents within 28 days.
3.3 Clinical Audit plan (incl. NICE)	JW	Audit plan progress and outcomes including compliance with NICE guidelines.	None	-
3.4 Losses and special payments	KE	One fruitless payment and no losses in excess of £10,000. Debt management processes in place.	None	Approval to write off 8.9k debt from companies no longer trading
3.5 Tender waivers	KE	Assurance received on processes for managing tender waivers.	None	-
3.6 Compliance with provider licence	KWh	Compliance with key requirements of the provider licence.	Diagnostic performance and RTT continue to have strong oversight through the Executive Team, respective assurance committees and the Board.	-
3.7 Register of external visits	KWh	Update on any external visits recorded.	None	-
3.8 Regulatory	KE/	No action plans to note.	None	-

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action plans	KWh	Recent relationship meeting with CQC was positive.		
4.1 Internal audit progress report	KE	Progress against the internal audit plan including moderate assurance in respect of the Data Security and Protection Toolkit.	None	NHSE has requested a Financial Sustainability audit across all Trusts. This work is likely to be undertaken in Q3 but further direction is awaited.
4.2 Internal audit follow up report	KE	Progress in delivering agreed actions was very good. There were 53 recommendations with 40 confirmed as fully implemented and a further 10 partially implemented.	None	-
4.3 Anti fraud report	KE	Compliance with the national counter fraud, bribery and corruption standards had been completed and LHCH was rated Green in all 13 components.	None	-
5.1 External audit update	KE	The remaining work on the value for money conclusion is progressing well and will be reported in July 2022.	None	VFM conclusion to be circulated to the Audit Committee once complete.
5.2 Review of external audit performance	KE	Positive feedback overall on the performance of the external auditor over the course of the year.	None	-
Private meeting with internal and external auditors	JF	The audit committee members met privately with the internal and external auditors.	None	-