

Board of Directors (in Public)

Item 6.1.2a

Subject: Audit Committee BAF Key Issues Report
Date of Meeting: 28th November 2022
Presented by: Julian Farmer, Audit Committee Chair
Meeting Held: 11th October 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
5.1 Committee Mid-year reports	KWh	Review of Assurance Committee Mid-Year reports All assurance committees have adhered to the relevant terms of reference and complied with the annual workplan	None	Approved
5.2 Risk Management KPIS	KWh	Compliance with the risk management KPIS	None	28 day closure of incidents KPI currently under review to determine if there is a better way to monitor this KPI. Paper to be brought back to the next committee on the work done to invigorate the risk management processes and KPIS
5.3 Review losses and special payment	KE	For the period 1st July 2022 to 30th September 2022 there have been no losses or special payments in excess of £10,000.	None	-

Agenda Item	Lead Exec	Assurance Received	New/ Emerging Risks	Actions/Comments
		Debt management process in place		
5.4 Review single supplier tender waiver	KE	Assurance received on processes for managing tender waivers	None	-
5.5 Compliance with Licence: Review of quarterly checklist	KWh	Compliance with key requirements of the provider licence.	Diagnostic performance and cancer performance.	Diagnostic performance and cancer performance have strong oversight through the Executive Team, respective assurance committees and the Board.
5.6 Regulatory Action Plans	KWh	No regulatory action plan	None	-
5.7 Cyber Security Update	KW	<p>Assurance provided on cyber security and performance against standards.</p> <p>Assurance that overall controls in place to protect the Trust.</p> <p>Good progress with regards to investment and deployment of cyber security tools and resources and good compliance with the national Data Security and Protection Toolkit</p>	Data retention lock still to be implemented.	Data retention lock work is planned for the end of December.
5.8 Data Quality Assurance Report	KW	The Trust is in a good position having a data quality policy and governance structure recently reinforced with a DQ Steering Group. The organisation is viewed favorably externally performing well in the Data Quality Maturity Index reports for external reporting.	February Clinical Coding experienced significant pressure to timeliness and data quality due to staffing pressures	The uncoded position is improving by the day and the team are on course to return to their usual uncoded position by the end of November 2022

Agenda Item	Lead Exec	Assurance Received	New/ Emerging Risks	Actions/Comments
5.9 Third Party Assurances	KE	An internal audit report has been received for the payroll function (St Helens and Knowsley) and an external audit report for accounts payable function (NHS shared business services) covering the last financial year with no material issues are raised in terms of the controls in place.	None	-
5.10 iDigital	KW	Update provided on the digital services provided to the Trust. Significant progress made in several areas	None	-
6.1 Internal Audit: Progress report on delivery of plan		<p>Progress made against the Internal Audit Plan for 2022/23.</p> <p>FTSU and RITMOCORE grant claim reviews are complete.</p> <p>CIP, H&S, Outpatient planning and appointment process, NHSE/I financial sustainability audits in progress</p>	None	-
7.1 External Audit: External audit update report		<p>Update provided on the progress in delivering the responsibilities as external auditors.</p> <p>The committee also confirmed that Grant Thornton have been appointed as external auditors to the Trust for 2023 for a period of 3 years.</p>	None	VFM conclusion to be circulated to the Audit Committee once complete.