

Board of Directors (Public)

Item 6.1.1

Audit Committee

Date/s of meetings held since last BoD: 17th July 2018

BAF Key Issues

BAF Ref – Principal risk	Assurance Received	New / Emerging Risks	Impact on BAF Risk Rating	Actions / Comment
3.2	Annual Review of Corporate Governance Manual	None	None	The Audit Committee reviewed each section of the manual and supported all proposed changes as highlighted in the high level summary report. In the case of the BAF Policy, the Committee recommended that the proposed enhancements be piloted and evaluated by the Board in 6 months' time. With this caveat, it was recommended that the updated Corporate Governance Manual be approved by the Board of Directors for immediate adoption.
3.2	Losses and Special Payments Single Supplier Tender Waivers	None	None	Noted.
3.2	Compliance with Provider Licence-Quarterly Checklist	None	None	The Audit Committee reviewed the checklist and confirmed its satisfaction that there were effective systems and processes in place to identify and manage risks in relation to compliance with the licence. The Committee noted escalated risks in relation to : i) RTT performance - breach reported April 2018 – compliant for Months 2 and 3 ii) Diagnostic waiting times – recurrent breach pending implementation of approved imaging strategy – NHSI fully briefed iii) informatics review findings and gaps in assurance relating to data quality, and iv) ongoing financial risks in respect of recurrent funding for HRG4+ (Wales) and

				the transition to national procurement for devices.
3.2	Review of Register of External Visits	None	None	Noted.
1.1, 1.2, 1.3, 3.7, 4.1	Review of Freedom to Speak Up Arrangements	None	None	The Audit Committee noted the new national guidance and supported the Trust's initial response, including the engagement of Board Directors in the self-review tool and increased (quarterly) reporting on FTSU activity direct to the Board of Directors. The recommendation that FTSU reports would be brought directly to the Board of Directors in future was supported.
3.1	Regulatory Action Plans	None	None	The Committee noted the summary of discussions letter received following the Trust's latest Quarterly Review Meeting with NHS Improvement which took place on 20 th June 2018. All actions were completed or in progress.
1.1	Risk Management KPI's	None	None	No red indicators, 3 ambers. Supplementary assurance report included following the risk management review by internal auditors, substantial assurance given and six recommendations. The number of open incidents would be escalated and picked up as part of the planned mock well led inspection.
1.1	Clinical Audit Plan & 6 Monthly Progress Report	None	None	Included were the 2017/18 CAEG annual report and Clinical Quality Forward Plan 2018/19. Audit Committee noted good assurance that there was a plan in place and processes being established to strengthen assurance.
3.2	Internal Audit- Progress Report	None	None	Requests for amendments to the original plan previously agreed with Executive colleagues were approved.
3.2	Internal Audit – EPR Payments Reviews, Phase 2	None	None	Assurance opinion NA
3.2	Internal Audit – Corporate Governance Statement Review	None	None	Assurance opinion NA
3.2	Internal Audit – Risk Management Review	None	None	Substantial assurance.

3.2	Internal Audit – Follow Up Report	None	None	Of the 25 recommendations followed up, six had been implemented, 13 were in progress, five had been superseded and one recommendation was awaiting implementation. It was agreed that the Trust would look at improving arrangements for departmental follow up of internal audit recommendations.
3.2	Internal Audit-MIAA Insight Report	None	None	Update on events, Briefing Note Series and Benchmarking
3.2	Anti-Fraud Progress Report April-June 2018	None	None	There were currently no on-going investigations. Two items were highlighted for Audit Committee's attention in relation to the Anti-Fraud, Bribery & Corruption Policy and Pro-active Detection Exercise-Working Whilst off Sick.
3.2	External Audit-Annual Audit Letter	None	None	There was nothing new contained within the letter and topics were positive, including the Value for Money Conclusion. This annual audit letter would now be taken to the Council of Governors AMM meeting on 18 th September 2018 and published on the Trust's website.