

Board of Directors (Public)

Item 6.2.4a

Audit Committee

Date/s of meetings held since last BoD: 10th January 2017

BAF key issues

BAF Ref – Principal risk	Assurance Received	New / Emerging Risks	Impact on BAF Risk Rating	Actions / Comment
3.2	Risk Management – DATIX demonstration and receipt of risk management KPI dashboard	None	None	Much improved user interaction and reporting since introduction of DATIX. Work ongoing to improve near miss reporting and improve tracking of reported incidents to ensure timely review and closure at divisional level.
2.1	Cyber Security	None	None	Assurance that full assessment undertaken and reasonable assurance provided around mitigation of risks and implementation of an IT Security Framework. Risk of cyber attack flagged on Trust risk register.
3.2	Internal Audit – Payroll Review	None	None	Significant assurance.
3.2	Internal Audit – Data Quality Strategy	None	None	Significant assurance.
3.2	Internal Audit – Follow Up Report Q3	None	None	A number of outstanding recommendations have not been fully addressed – the internal arrangements for timely implementation of internal audit recommendations need to be reviewed and escalated where necessary to Executive Team / Operational Board – Audit Committee to review March 2017.
3.1	External Audit Update report - policy update and emerging issues	None	None	
3.1	Draft letter of engagement received from Grant Thornton for 2016/17 audit	None	None	GT to undertake preliminary testing of locally selected quality indicator to ensure data is sufficiently robust to enable a limited assurance opinion.
3.1	Clinical audit plan	None	None	Aiming to improve uptake of audits in

	and 6 monthly progress report			respiratory medicine and utilise organisational learning to inform 2017/18 clinical audit programme.
3.1	Compliance with Provider Licence			All 2-16/17 financial and operational targets on track. Risk around failure to agree control totals set for 2017/18 and 2018/19 noted.