

Board of Directors (in Public)

Item 6.1.2a

Subject: Audit Committee BAF Key Issues Report
Date of Meeting: 31st January 2024
Presented by: Julian Farmer, Audit Committee Chair
Meeting Held: 9th January 2024 (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 Risk Management KPIs – InPhase Update	KWh	Update provided on risk reporting and InPhase. The Trust has systems and processes in place for the identification, management and escalation of risks with actions being taken to increase compliance in some areas.	-	KPI position noted with regard to incidents over 28 days Continued development of In-Phase reports.
5.2 Review Clinical Audit Plan and 6-monthly progress report	JC	Assurance provided on the current delivery of this year's clinical audit program and NICE guidance review.	-	-
5.3 Annual Audit Committee evaluation/ effectiveness	KE/KWh	Approach agreed for the annual audit committee effectiveness report.	-	-
5.4 Review of Register of External Visits	KWh	Register of external visits reviewed.	-	Continue to review the register twice yearly and reflect on the purpose of the register.
5.5 Compliance with Licence: Review of quarterly check-list	KWh	Compliance with key requirements of the provider licence.	-	Ongoing management of the recovery and restoration of services, along with the changes to the funding regime. Further consideration of well led assessment by BoD.

Agenda Item	Lead Exec	Assurance Received	New/ Emerging Risks	Actions/Comments
5.6 Regulatory Action plans	KWh/KE	No regulatory action plans	-	-
5.7 Cyber Security Update	KWa	Assurance provided with regards to the ongoing progress with cyber security.	-	-
5.8 Data Quality Assurance Report	KWa	Assurance provided with regards to the controls in place in relation to data quality management and the performance against key indicators.	-	-
5.9 Update to SORD	KE/JB	The Committee reviewed the revisions to the SORD to document controls around delegation of procurement limits for partner organisations.	-	Report on proposed SORD changes to BoD for approval.
6.1 Progress report on delivery of plan	MIAA	Progress is being made against the internal audit plan for 2022/23. It is predicted that the plan will be delivered by the end of the year.	-	-
6.2 Follow up report	MIAA	Good progress on delivery of recommendations.	-	-
6.3 Anti-Fraud update report	MIAA	Good progress on delivery against the anti fraud plan.	-	-
7.1 External audit update reports	Ext. Auditor	Verbal update provided.	-	-