

<b>Audit and Risk Assurance Committee, Key Issues Report</b>		
<b>Report Date:</b>		<b>Report of:</b> Audit and Risk Assurance Committee
<b>Date of meetings:</b>		All NED members present. Director of Governance and Communications, Director of Finance, Co-Medical Director, Ms Rosi Edwards (Associate NED Designate and (non-voting) member of the Committee) also in attendance for the meeting.
1	<b>Agendas</b>	The Committee considered the following: <ul style="list-style-type: none"> <li>• Internal Audit Progress Report</li> <li>• Internal Audit Report: Response to Ockenden</li> <li>• Internal Audit Recommendations Tracker</li> <li>• Criteria Led Discharge - update</li> <li>• Waiting Lists Initiatives – update</li> <li>• External auditors update</li> <li>• Anti-Fraud Progress Report</li> <li>• BAF report Q2 2022/23</li> <li>• Risk Management report Q2 2022/23</li> <li>• Conflicts of Interest update</li> <li>• Updated Terms of Reference</li> <li>• Governance Review – updated Board / Trust documentation</li> <li>• Losses and Special Payments</li> <li>• Competition Waiver Reports</li> </ul>
2a	<b>Alert</b> <i>Matters of concerns, gaps in assurance or key risks to escalate to the Board</i>	<ul style="list-style-type: none"> <li>• It was difficult to ascertain whether there had been progress made with the Waiting List Initiative Payments process or whether previous actions (policy and payment agreements) had been approved. The item will be brought back to the next Committee for a further update.</li> <li>• The Committee noted the increasing levels of outstanding Overseas Patient debt.</li> </ul>
2b	<b>Assurance</b> <i>Positive assurances and highlights of note for the Board</i>	<ul style="list-style-type: none"> <li>• Several pieces of updated board / Trust documentation were presented to the meeting for discussion and proposed recommendation to the Board for approval: Standing Orders (SO's), Standing Financial Instructions (SFI's) and the Scheme of Reservation and Delegation (SoRD). The thorough review that had been carried out, including updating the documentation to recognise the new legislation and NHS structures, was applauded by the Committee.</li> <li>• Substantial Assurance was received on the Internal Auditors' review of the processes in place to measure completion of the Ockenden Report requirements. Many areas of good practice were highlighted by the Internal Auditors, with only two recommendations made; continue at pace to work towards implementation of all the recommendations using the same processes as currently, and to provide a copy of all triple A reports on Monday.com as evidence of progress.</li> <li>• The updated Terms of Reference for the Committee, which went through the Board of Directors for approval in November, was re-reviewed following a number of issues being raised. It was supported without further amendment. (The Board at the November meeting, had approved the ToR on the basis that the issues were dealt with; hence, in view of the outcome at the Committee, it did not need presenting to the Board in December 2022.)</li> </ul>

2c	<b>Advise</b> <i>Areas that continue to be reported on and/or where some assurance has been noted/further assurance sought.</i>	<ul style="list-style-type: none"> <li>• Overdue internal audit recommendations remained at the previous level, mainly due to the operational pressures that executive directors are involved with.</li> <li>• Dr Edward Drysdale attended the meeting to provide an update re Criteria Led Discharge. He advised that there had been better traction in Surgery rather than Medicine, but still some resistance from nurses not feeling empowered. It was noted that Dr Drysdale was no longer the sponsor for the work, and that the Improvement Hub will be picking up this matter, and the Quality and Safety Assurance Committee would follow up.</li> </ul>		
2d	<b>Actions</b> <i>Significant follow up actions</i>	<ul style="list-style-type: none"> <li>• Further update to be provided on Waiting List Initiatives at next meeting.</li> <li>• More analysis to be provided regarding the increasing levels of Overseas Patient debt (from the Losses and Special Payments Report)</li> <li>• Update on the issue of cyber / IT capacity and priority of projects (from the Internal Audit Recommendations Tracker)</li> </ul>		
3	<b>Report compiled by</b>	<i>Anna Milanec, Director of Governance and Communications</i>	<b>Minutes available from</b>	<i>Isla Tomkiss, Executive Governance Support and Committee Secretary</i>