

Extraordinary Audit & Assurance Committee Chair’s Highlight Report to Trust Board

Subject:	Audit & Assurance Committee (AAC) Report	Date: 16 th March 2023
Prepared By:	Graham Ward – AAC Chair	
Approved By:		
Presented By:	Graham Ward – AAC Chair	
Purpose		
	Assurance	

Matters of Concern or Key Risks to Escalate	Major Actions Commissioned / Work Underway
<ul style="list-style-type: none"> ▪ <u>Counter Fraud</u> – the laptop/mobile phone thefts has now been fully resolved with the individual admitting the thefts and resigning. Processes have been changed to tighten control in the future. ▪ <u>Internal Audit</u> – Implementation of internal audit recommendations is improving – now at 69% (up from 66% at last report) implemented by due date (needs to be >75% for Head of Internal Audit Opinion to be significant assurance). ▪ <u>Internal Audit</u> – terms of reference for internal audits are not being responded to within the agreed timelines which creates unnecessary delays. ▪ <u>Procurement</u> – New system introduced which details all framework contracts available (Framespan) which is helping further collaboration and reducing single tender waivers. 	<ul style="list-style-type: none"> ▪ <u>Register of Interests</u> – Committee Chair to email the remaining 6 staff from the original list who haven’t declared. ▪ <u>Overseas Patients</u> – Deep dive to be undertaken to review processes, controls and cost of managing overseas patients invoicing and debt collection.

Positive Assurances to Provide	Decisions Made
<ul style="list-style-type: none"> ▪ <u>Register of Interests</u> – this is now down to an all-time low of 6 from the original list who haven't declared (out of 942 Grade 7+ staff). Overall list is 96 employees, but increase is due to new employees starting at the Trust. ▪ <u>Counter Fraud</u> – There has been a 400% increase in referrals this year due to effective communications and awareness. Particular thanks to Debbie Kearsley, Deputy Director of People and Counter Fraud Champion for the support given was noted. ▪ <u>Non-Clinical Policies</u> – The number of overdue policies has reduced further from 10 to 4, of which 3 are awaiting final sign off and only 1 requires a further follow up. 	<ul style="list-style-type: none"> ▪ <u>Counter Fraud</u> – additional days incurred for investigations and work plan for 2023/24 approved. ▪ <u>Internal Audit Plan for 2023/24</u> – Approved. ▪ <u>Going Concern Statement</u> – wording agreed for recommendation to Board for approval. ▪ <u>Losses and Special Payments</u> – Approved. ▪ <u>Terms of Reference</u> – Changes to Terms of Reference approved. ▪ <u>Annual Work Plan</u> – Approved. ▪ <u>2022/23 AAC Annual Report</u> – Approved.
<p>Comments on Effectiveness of the Meeting</p>	
<ul style="list-style-type: none"> ▪ All papers were of a high quality and clear which helped the meeting run smoothly. 	