

CHAIR'S KEY ISSUES

ISSUES FOR REFERRING / ESCALATING TO BOARD / COMMITTEE / TASK & FINISH GROUP

ORIGINATING BOARD / COMMITTEE / TASK & FINISH GROUP:	Audit and Risk Committee, 14 December 2022
CHAIR:	Mark Millar, Non-Executive Director
LEAD EXECUTIVE DIRECTOR:	Adrian Marr, Director of Finance

Agenda Item	Details of issue	Approval Escalation Alert Assurance Information
Key Issues from the Board: Medical Devices Management action	A position statement was presented on the work undertaken in the last six weeks to track equipment and ensure that all staff have the appropriate training. The Deputy Chief Medical Officer attended and the Committee received assurance on progress to date. This is a long-term project, there are safeguards for some elements and some of the high-risk specialist areas also had processes in place. Progress is to be followed up at the Quality and Patient Safety Committee and that Committee was asked to receive a realistic timetable to resolve this issue. It has been added to the work programme for the February 2023 meeting.	Escalation
Procedural Document Register Update	A reduction in outstanding policies had been seen within Women's and Children's Division and the Chair would be meeting with their Divisional Director to provide the Committee's thanks for the work that has been and continues to be done. Data was being validated to give a more accurate position on those corporate policies reported as outstanding. An update would be provided prior to the next meeting.	Assurance
Internal Audit updates	Three reports were presented: <ul style="list-style-type: none"> • Patient Complaints, reasonable assurance • Financial Sustainability as required by NHS England, no overall opinion. It is not clear if this audit would be repeated in future years and an action was taken for the Chair to write to the national team on the format and gradation of questions. A copy of the report had been provided to NHS England. 	Alert

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	<ul style="list-style-type: none"> Business Cases – Capital Projects, substantial assurance. <p>A request was made to delay the Discharge Management audit which has now been agreed.</p>	
Management Action Status Report	Further work was required with RSM on the process and format of the final report to Committee and the evidence required to enable closure of outstanding actions. The Chief Executive would progress appropriate updates through the Corporate Divisional Accountability Meetings and would highlight the importance of agreed completion dates being achievable. An update would be provided to the Chair prior to the next meeting.	Alert
Counter Fraud Progress Report	No concerns were highlighted. The Committee was advised of a continual increase in the number of scams in the NHS and the importance of staff working within the processes and controls in place. A single tender waiver benchmarking report contained comparison with other Trusts to enable assessment of whether the Trust's user of waivers was acceptable when usual procurement procedures cannot be complied with.	Assurance
Charitable Funds audit 2021/22	The final Audit Completion report was received.	Assurance
Declarations of Interest Report	An update was provided on the move to using the Electronic Staff Record for all declarations, except for the 49 staff without access. A request had been made for decision making staff annual declarations, including a nil return, by 31 December. An increase in declarations had been seen since the report was produced. A clear timeline for action in early 2023 will support submission of the NHS Counter Fraud Authority Functional Standards Return. This would include a review of the Trust policy and confirmation of the processes in place to ensure effective implementation.	Assurance
Board Assurance Framework	An update on Committees' consideration of their risks was provided. It was confirmed that any recommendations for changes in the risks would be presented to the Board for approval. An internal governance structure was being developed and the Committee confirmed the importance of the narrative within the controls being aligned to this structure once it was finalised.	Assurance
Internal Audit and Counter Fraud Services	A meeting was held without the auditors in attendance to consider the joint procurement exercise for ESNEFT and the Suffolk and Norfolk East Essex Integrated Care Board to appoint internal auditors for three years from 1 April 2023. The recommendation was accepted.	Alert
Appointment of Charity External Auditors	The Committee agreed the process and timeline to appoint auditors to undertake the charity's audit for 2022/23. The approval process for the preferred appointment was being confirmed.	Alert