

| Audit and Risk Committee | |
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| Date of meeting: | 6 th May 2021 |
| Attendees: | Lesley Writtle, Harjinder Kang, Mick Laverty, Mike Hoare, Kate Thomas, Kam Dhami, Dinah McLannahan, Mark Stocks, Asam Hussain, Mike Gennard, Simon Sheppard, Craig Higgins, Susan Rudd, Dave Baker, Bradley Vaughan, Zak Francis |
| Apologies: | Waseem Zaffar |
| Key points of discussion relevant to the Board: | <ul style="list-style-type: none"> • A number of actions remained open following an Internal Audit review of the Strategic Board Assurance Framework due to the on-going work to align the BAF and risk register modules in the Safeguard system. The actions will be closed by the end of June. The 2018/20 SBAF risks continue to be updated on progress against management actions, the risk scores and assurance levels and presented to the relevant Board Committees. Board discussions are in progress to agree new corporate objectives from which the 2021/23 board assurance framework will be created. • The formal draft Head of Internal Audit opinion was that the Trust had an adequate and effective framework for risk management, governance and internal control, however, there were a number of further enhancements required to ensure the situation remained so. The Trust was at the lower end of a positive opinion so the outstanding Internal Audit review actions needed to be closed and DSPT compliance achieved. • The draft annual unaudited Accounts were reviewed. It was noted that the financial performance against the Control Total was £0.38m. The Trust had met all of its key financial duties. The Accounts included the financial impact of the centrally procured equipment for the COVID-19 response and also PPE with a cost-neutral impact. The Accounts will be audited until final submission, due on 29th June 2021. No changes to the main financial statements are expected, but narrative changes may be made. A schedule of updates will be provided to the Committee in June, ahead of the submission date. |
| Positive highlights of note: | <ul style="list-style-type: none"> • It was acknowledged that it had been a considerable achievement to get the annual Accounts ready in difficult circumstances. The finance team were congratulated. |

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| Matters of concern or key risks to escalate to the Board: | <ul style="list-style-type: none"> • Achieving full compliance with the outstanding information governance standards in the DSPT remain a challenge by the end of June submission date. The relevant Executive Directors were closely involved in overseeing this work . • Closure of the 71 overdue actions relating to completed Internal Audit reviews would be monitored by the CEO chaired Performance Management Committee. Executive Directors may be called to the A&RMC to discuss any that remain open. |
| Matters presented for information or noting: | <p>The following final Internal Audit review reports were received:</p> <ul style="list-style-type: none"> • Human Tissue Authority (partial assurance) • General ledger and financial reporting (reasonable assurance) • Payroll and expenses (partial assurance) |
| Decisions made: | None |
| Actions agreed: | See action tracker |

Lesley Writtle, Non Executive Director
Chair of the Audit & Risk Management Committee

For the meeting of the Trust Board scheduled for 9th June 2021