

<b>Audit and Risk Committee</b>	
Date of meeting:	24 <sup>th</sup> June 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, Zak Francis
Apologies:	Waseem Zaffar
Key points of discussion relevant to the Board:	<ul style="list-style-type: none"> <li>• <b>Data Security Protection Toolkit (DSPT) submission</b> The Committee received the annual self-assessment template against the mandatory assertions of the National Data Guardian's 10 Data Security Standards. The submission is due by 30<sup>th</sup> June 2021.  Evidence has been collated and is available for all Standards with the exception of two:  The submission will state Standard Not Met for:               <ul style="list-style-type: none"> <li>i) Trust-wide Mandatory Training – the requirement is to achieve 95% compliance for Information Governance Mandatory training. Current compliance for the organisation is 93.01% and there is a plan in place to raise awareness and target Groups and individuals to raise compliance rates.</li> <li>ii) Completion of annual Penetration Testing – the tender for the external provision of the Penetration Testing exercise has been awarded and the test is to be carried out at the beginning of July 2021 with reporting shortly thereafter. Therefore the requirement to complete the test by 30<sup>th</sup> June 2021 is not met.</li> </ul> </li> </ul> <p>Once the evidence is available demonstrating compliance with the two Standards, it will be provided as part of the Toolkit.</p> <ul style="list-style-type: none"> <li>• <b>Annual Report and Accounts 20/21</b> Updated following audit by GT, no major changes since Board June 21, AGS included. No major changes to accounts, some minor edits still expected to accounts (removal of irrelevant disclosures)</li> <li>• <b>Audit Findings Report</b> Grant Thornton took the committee through the report in some detail. There was still further testing work to undertake but an unqualified audit opinion was expected. The Trust</li> </ul>

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	<p>accepted all of the recommendations in the report. There was further work required before completion of the audit, with a possibility of adjusting for the Trust's Annual Leave provision for 2021. This would not be a bottom line adjustment as any reduction in expenditure would be matched by a reduction in income from the centre.</p> <p>Grant Thornton raised the issue of ensuring that the MMUH workforce model is assessed in the context of financial sustainability and the requirement to reassess and understand the underlying financial position of the Trust post Covid.</p> <p>The VFM review acknowledged the governance review underway in the Trust, highlighted the improvement required in patient and staff satisfaction, a pressing need to understand in detail the drivers of the mortality statistics in the Trust and the need for a clear CQC action plan and evidence repository</p>
Positive highlights of note:	<ul style="list-style-type: none"> <li>• Anticipated unqualified audit report with no adjustments expected at time of writing</li> </ul>
Matters of concern or key risks to escalate to the Board:	<ul style="list-style-type: none"> <li>• Submission of the annual Data Security Protection Toolkit assessment showing two Standards Not Met, although this is a significant improvement in performance over year</li> <li>•</li> </ul>
Matters presented for information or noting:	<ul style="list-style-type: none"> <li>• NA</li> </ul>
Decisions made:	<p>Given the unfinished audit, albeit minimal, it was decided to delay final sign off of the Annual Report, AGS and Financial Statements to 1<sup>st</sup> July 2021 when Audit Findings Report is complete. A short meeting of the Audit &amp; Risk Management Committee will receive the final documentation for approval. NHSE/I are aware and not unduly concerned.</p>
Actions agreed:	<p>See action tracker</p>

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

**For the meeting of the Trust Board scheduled for 1<sup>st</sup> July 2021**