

3As Highlight Report

Meeting Name: Audit and Risk Committee

Meeting Chair & Report Author: Hetal Parmar

Date: 18 June 2024

Quorate: Yes

Policies & expiry date: N/A

Agenda Item:	Reference:	Lead:	Description:	BAF Ref:
ALERT:				
Alert to matters that need the Board's attention or action, e.g. an area of non-compliance, safety or a threat to the Trust's strategy				
There were no items to alert the Board of.				
ADVISE:				
Advise the Board of areas subject to on-going monitoring or development or where there is negative assurance				
There were no items to advise the Board of.				
ASSURE:				
Inform the Board where positive assurance has been received				
Governance & Risk Report	ARC/24/039	Director of Governance and Risk	ARC received assurance over the systems and processes in place to secure an effective governance and risk framework, the key points to note were; <ul style="list-style-type: none"> • The process for the management and oversight of policies had embedded within the corporate governance structure. • Effectiveness reviews had been undertaken for all level one committees during June. • The BAF and the corporate risk register processes went live on 1 April 2024 and were now embedding. • The new Ulysses module for health and safety risk assessments had gone live, and risk assessments had been moved across smoothly. 	N/A
ARC Annual Review 2023/24	ARC/24/040	Director of Governance and Risk	ARC received assurance over the effectiveness of the committee during 2023/24 and approved the adoption of the terms of reference as recommended in the HFMA NHS Audit Committee Handbook published in March 2024.	N/A
Annual Financial Accounts 2023/24	ARC/24/042	Director of Finance	The Trust had achieved all of its statutory duties and one administrative duty for the year subject to agreement by LPT's external auditors. ARC approved the annual accounts for 2023/24 prior to submission to the EGM on 25 June for final approval.	BAF03

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Going Concern Assessment	ARC/24/043	Director of Finance	ARC supported the assertion that the Trust be formally recognised as a Going Concern with the 2023/24 annual accounts completed on that basis.	BAF03
CE Waivers Q4 2023/24	ARC/24/046	Director of Finance	Assurance was received there was a robust process for chief executive waivers in place but ARC noted that a high number were still being raised due to insufficient timescale. Work was taking place by the Procurement Team and services to improve this position.	N/A
Clinical Audit Forward Plan 2023/24	ARC/24/047	Director of Governance and Risk	Assurance was received on the clinical audit programme in place however, ARC could not agree the plan as it was unsure where the biggest priority was and whether the plan was focusing on it. A review of the governance arrangements for reporting on clinical audits would be undertaken.	N/A
CELEBRATING OUTSTANDING:				
Share any practice, innovation or action that the Committee considers to be outstanding				
Head of Internal Audit Opinion 2023/24 and Annual Report	ARC/24/035	Director of 3560 Assurance	An opinion of significant assurance that there was a sound framework of governance, risk management and control to meet the organisation's objectives was provided. One of the three elements was implementation of internal audit actions and this was based on the first follow up rate of 96% and an overall implementation rate of 100%.	N/A