

Escalation and Assurance Report



Report from: Audit & Risk Committee

Date of the meeting: 12th November 2024

Key discussion points and matters to be escalated from the discussion at the meeting:

Alert:

There are no issues arising to alert the board to.

Advise:

The Committee:

- Received and noted an advisory report from 360 Assurance on Procurement Cards. As an advisory engagement and not a "controls" audit, the report did not have an associated assurance grading however the Committee were concerned about the relative looseness of recent historic control exercised by the Trust and the potential implication for the appropriateness of transactions and, by extension, discharging its obligations under Managing Public Money. We will weigh this alongside future reports on the control environment.
- Noted the inclusion of six new corporate risks since the previous ARC meeting:
 - Risk 644: Paramedic Urgent Care (non-qualified) roles (12, moderate risk).
 - Risk 632: Restrictive Intervention/ Restraint Practices without Training (12, moderate risk).
 - Risk 643: Out-of-Hours General Practice - Provider Closure of 6/12/24hr Cases Referred from IUC (12, moderate risk).
 - Risk 656: Cyber Threats (12, moderate risk). We noted that the risk score is being reconsidered considering the board development work on cyber risk.
 - Risk 652: Commander Training Compliance (12, moderate risk).
 - Risk 612: West - Hospital Handover Monitoring (12, moderate risk).

Assure:

The Committee:

- Noted an improvement in the overdue management actions position.
- Considered progress against the 2024/25 internal audit plan and approved a change to that plan to defer the Complaints audit to Q1 of 2025/26. We noted the Significant Assurance report on Accounts Payable and the advisory report on Business Continuity (ISO22301).
- Noted progress against the Counter Fraud plan for 2024/25.
- Noted the report on the Trust's risk management processes including the Board Assurance Framework.
- Received assurance reports from the Quality Committee, Finance and Performance Committee and the People Committee.
- Received assurance reports on Losses and Special Payments, and Standing Financial Instructions Waivers and Contracts over £100k.
- Reviewed proposed changes to Trust Standing Orders and recommends their approval by the board.
- Noted the Procedural Documents update report.
- Reviewed the annual effectiveness assessments for the services provided by Bishop Fleming and 360 Assurance.

Risks discussed:

As listed above.

New risks identified:

N/A

Report completed by: Andrew Chang, Committee Chair

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