



AGENDA ITEM

6.5

AUDIT & RISK COMMITTEE

AUDIT RECOMMENDATIONS TRACKER UPDATE REPORT

Date of meeting	17/08/2021
FOI Status	Open/Public
If closed please indicate reason	Not Applicable - Public Report
Prepared by	Emma Walters, Corporate Governance Officer
Presented by	Georgina Galletly, Director of Corporate Governance/Board Secretary
Approving Executive Sponsor	Director of Corporate Governance
Report purpose	FOR NOTING

Engagement (internal/external) undertaken to date (including receipt/consideration at Committee/group)

Committee/Group/Individuals	Date	Outcome

ACRONYMS

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1. SITUATION/BACKGROUND

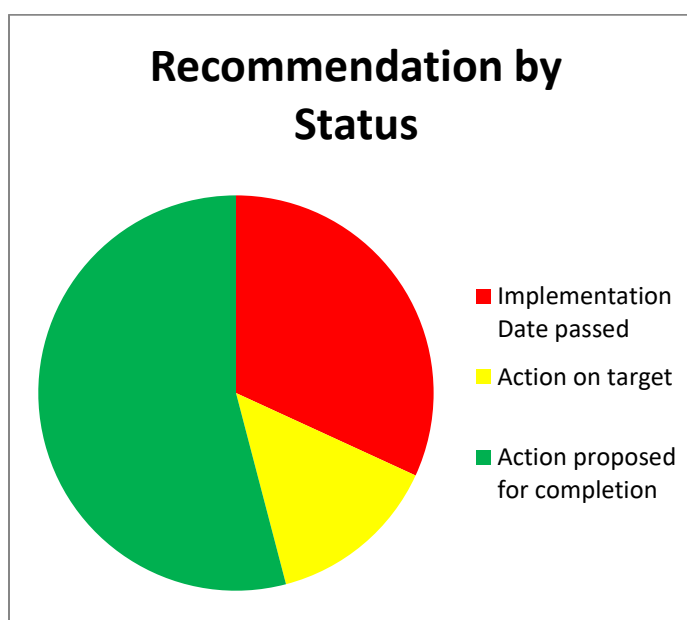
- 1.1 The main purpose of this report is to present an update to the Audit & Risk Committee on reported progress of Audit report recommendations in the revised format.

1.2 This report relates to both internal and external audit review recommendations.

2. **SPECIFIC MATTERS FOR CONSIDERATION BY THIS MEETING (ASSESSMENT)**

2.1 Steps have been taken to seek updates from Management leads in relation to outstanding internal and external audit recommendations which are classed as high/medium/low priority. Despite the pressures being experienced by teams in relation to Covid-19, Members will note a further 73 internal audit recommendations have been completed and are proposed for removal from the tracker, together with 6 external audit recommendations.

2.2 The tables below provide a summary of the current position in relation to Internal Audit Recommendations, noting that there remains a large number in the proportion of red status indicating actions that won't be achieved in line with timescales, largely due to the impact of COVID-19:



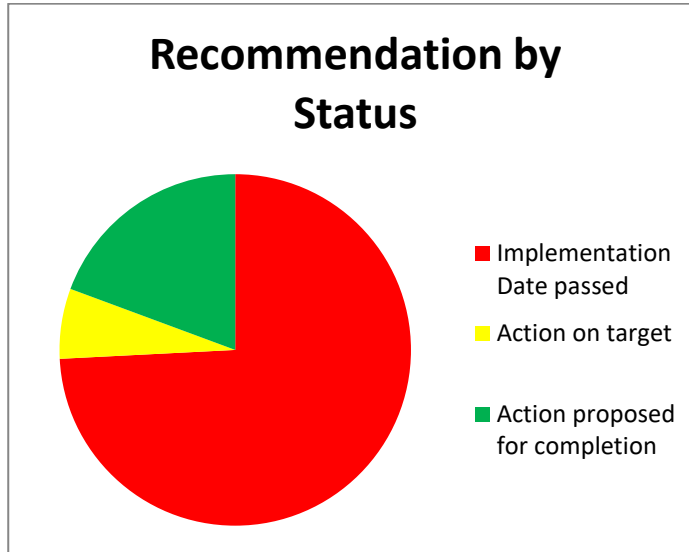


Recommendations by Priority & Status				
Priority	TOTAL	Implementation Date passed	Action on target	Actions Completed
High	44	16	8	20
Medium	70	24	10	36
Low	21	3	1	17

Recommendations by Executive Lead & Status				
Executive Lead	Total	Implementation Date passed	Action on target	Actions Completed
Director of Corporate Governance	13	1	1	11
Director of Finance	24	1	2	21
Director of Operations	52	17	3	32
Director of Nursing	3	1	1	1
Director for People	17	9	6	2
Director of Public Health	20	11	4	5
Medical Director	6	3	2	1



2.3 The tables below provide a summary of the current position in relation to External Audit Recommendations:



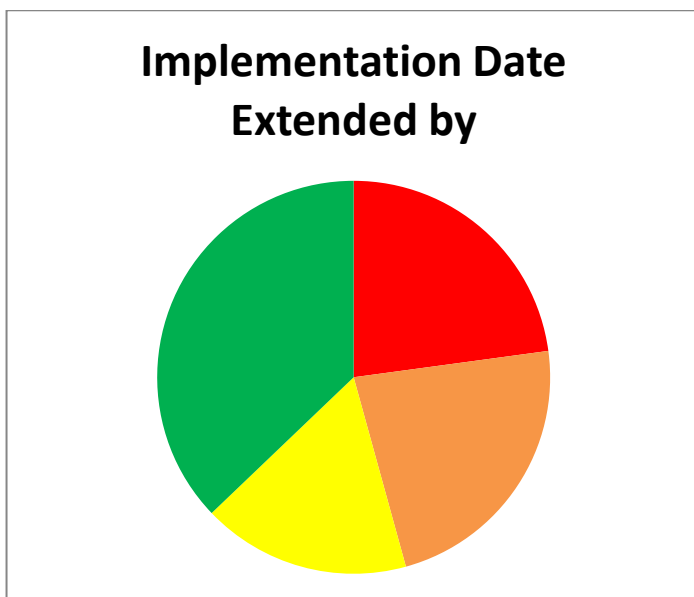
Recommendations by Priority & Status				
Priority	TOTAL	Implementation Date passed	Action on target	Actions Completed
High	5	5	0	0
Medium/Low	26	18	2	6



Recommendations by Executive Lead & Status				
Executive Lead	Total	Implementation Date passed	Action on target	Actions Completed
Director of Finance	3	1	0	2
Director of Nursing	2	1	0	1
Director of Operations	21	20	1	0
Director of Primary, Community & MH	1	0	1	0
Director of Public Health	2	1	0	1
Director of Strategy & Transformation	2	0	0	2

2.4 As requested by Committee Members at the June meeting, we have also included charts which identifies the recommendations which have exceeded their target dates by 24 months, 12-24 months, 12 months and by 6 months.

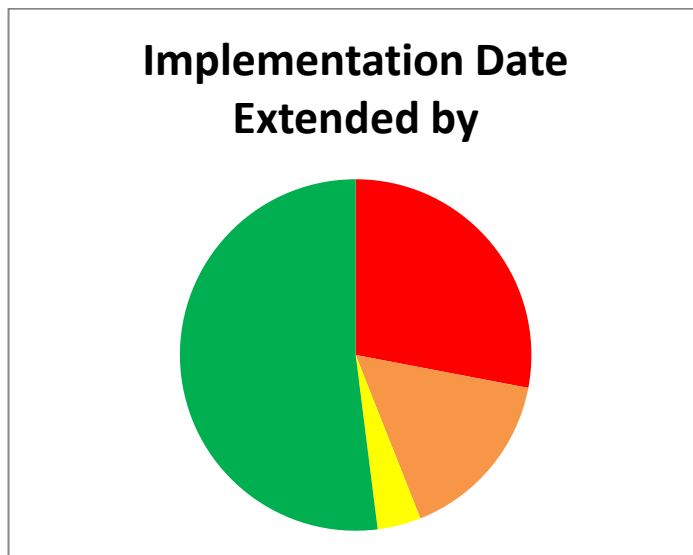
Internal Audit Recommendations





Implementation Date Extended by					
Priority	TOTAL	More Than 24 Months	12-24 Months	12 Months	6 Months
High	23	1	17	2	3
Medium	32	8	8	4	12
Low	3	0	0	2	1

External Audit Recommendations



Implementation Date Extended by					
Priority	TOTAL	More Than 24 Months	12-24 Months	12 Months	6 Months
High	5	3	1	1	0
Medium/Low	20	4	3	0	13

3. KEY RISKS/MATTERS FOR ESCALATION TO BOARD/COMMITTEE

- 3.1 As outlined in section 2, the audit tracker will continue to be updated.
- 3.2 The revised format will continue to be further refined over time, but aims to provide a more thorough tracker and audit tool for the Audit Committee.



4. IMPACT ASSESSMENT

Quality/Safety/Patient Experience implications	Yes (Please see detail below)
	Robust internal processes aligned with a strong governance framework is essential to ensuring patients experience the greatest possible levels of safety and quality.
Related Health and Care standard(s)	Governance, Leadership and Accountability
	If more than one Healthcare Standard applies please list below:
Equality impact assessment completed	No (Include further detail below)
	Not required
Legal implications / impact	Yes (Include further detail below)
	There may be an adverse effect on the organisation if the UHB does not fully implement learning and improvements identified as part of Audit arrangements.
Resource (Capital/Revenue £/Workforce) implications / Impact	There is no direct impact on resources as a result of the activity outlined in this report.
Link to Strategic Well-being Objectives	Provide high quality, evidence based, and accessible care

5. RECOMMENDATION

5.1 The Audit & Risk Committee are being asked to **NOTE** the report.