

COMMITTEE ALERT, ADVICE, ASSURANCE REPORT TO BOARD

Committee:	Audit and Risk Committee
Meeting Date:	18 May 2021
Chair:	Anne Dray

KEY ITEMS DISCUSSED AT THE MEETING

TO ALERT (Alert the Committee/Board to areas of non-compliance or matters that need addressing urgently)

Issue	Committee Update	Assurance Received	Action	Timescale
KPMG Value for Money Audit Plan	The committee received the plan as part of the annual report preparations	The report noted that risks had existed at the start of 2020/21 and in coming to its final position, the VFM risk assessment would need to consider to what extent they had persisted through the year.	To be updated by KPMG	In line with ARC meeting arrangements
Internal Audit Progress Report	The committee received updates on two completed audits relating to Physical Health and Strategic Risk Management	The Physical Health report offered limited assurance	To be referred to Quality Assurance Committee The committee also requested that the process for ensuring internal audit reports receive	By next scheduled ARC meeting in June

			full committee review be explored	
Head of Internal Audit Opinion	The committee received the HOIA which was not expected to change, offering a moderate opinion	It was noted that moderate was a higher opinion than limited, but fell short of the significant opinion aspired to	HOIA summary included in AGS as part of annual reporting	For final approval at extraordinary ARC on 9 June 2021
Annual Governance Statement	The committee received the AGS for 2020/21	It was noted that the AGS declared there had been significant control gaps in 2020/21	To be submitted as part of annual reporting	For final approval at extraordinary ARC on 9 June 2021
ADVISE (Detail here any areas of on-going monitoring where an update has been provided to the Committee AND any new developments that will need to be communicated or included in operational delivery)				
Issue	Committee Update	Assurance Received	Action	Timescale
Counter Fraud draft Government Counter Fraud Functional Standard Return May 2021	The committee were advised on new standards which were being applied from April 2021	Although SHSC did not meet all the new standards, it was noted that this was the case at all trusts due to the mechanism being used. It is acknowledged that the returns for 2021 will represent a baseline measurement for the work required during 21/22	Measures have been put in place by 360 Assurance to ensure compliance for 2021/22	31 March 2022
Review of committee effectiveness	The committee finalised itsself assessment.	The committee recognised an area for improvement in relation to the implementation of decisions and actions	To be taken into account in development of work programme	June/July 2021

FTSU Self Assessment	The committee received the complete draft self-assessment combining the work undertaken at a Board Development Session and that completed by the Executive Team	The committee was assured of the process to reflect on the findings with staff groups and would continue to monitor	The FTSU Working Group to agree detail of reflective work with staff before reporting back to ARC and Board	Reflective work by end of June 2021 Final presentation to ARC and Board in July 2021
Board Assurance Framework	The committee received the draft BAF for 2021/22	The committee agreed the risks, subject to noting the BAF was incomplete at this time as it was still being developed	Final and complete BAF to be presented to Board	26 May 2021
ASSURE (Detail here any areas of assurance that the Committee has received)				
Issue	Committee Update	Assurance Received	Action	Timescale
Policy Governance Annual Report	The committee received the annual report	The committee was assured that the processes had been effective in 2020/21 and commended that all policies had been up-to-date from December 2020 to year end		
Register of Interests/Register of Hospitality, Sponsorships and Gifts	The committee received the annual report	The Committee received assurance on how the Register of Interest policy was being applied	In respect of the Register of Hospitality, Sponsorship and Gifts information was to be shared following the meeting	21 May 2021

COMMITTEE ALERT, ADVICE, ASSURANCE REPORT TO BOARD

Committee:	Finance and Performance Committee
Meeting Date:	13 May 2021
Chair:	Anne Dray as Vice Chair (Richard Mills, Chair, sent apologies)

KEY ITEMS DISCUSSED AT THE MEETING

TO ALERT (Alert the Committee/Board to areas of non-compliance or matters that need addressing urgently)

Issue	Committee Update	Assurance Received	Action	Timescale
2020/21 Operational Financial Recovery Plans – 1. SPA/emotional wellbeing, 2. Access to recovery service, 3. OOA placements	The committee was asked to take assurance from the recovery plans and trajectories set out for improvement	Detailed action plans and trajectories in place. Monitoring of performance through IPQR.	Bimonthly updates to FPC in place	1. April 22 2. July 21 3. Dec 21
2021/22 Cost Improvement Plan	The committee was asked to agree establishment of CIP working group under AIPG with routine reporting through AIPG and BPG, and escalations via the Performance Framework to the committee. Current status - CIP Plans are significantly behind where they usually are plus £1.6m recurrent shortfall on 20/21 delivery to address	Draft CIP Working Group Terms of Reference presented, QEIA process in place, Scheme Initiation Documents and monitoring and escalation arrangements via Performance Framework	Bottom up approach by Directorates complemented by series of workstreams leading on transformation and wider organisational savings Leads to be identified for workstreams	Q1 confirm gaps Q2 outline plans 22/23 CIP Plans by

				31.12.21
New Electronic Patient Record	The committee was presented with a proposed accelerated timeline for procurement of the EPR for approval	EPR Plan on a page – plan to procurement launch presented New EPR Programme Board meets monthly with oversight from Transformation Board	Plan endorsed by FPC to EPR Programme Board 14 May for approval and baseline	Procurement Launch July 21. Exceptional process needed to achieve Board approval before 05/07
Relocation of Trust HQ	The committee was asked to consider the risks and issues in preparing a business case	That advice from NHSE+I has been taken into account in reviewing accommodation requirements, value for money and affordability. Delay in business case is partly impacted by New Ways of Working Policy completion.	Revision of option appraisal	Business case review at governance groups in June
Updated Insight Risk 4121	Specific consideration was presented on the rationale for changes to the Insight risk for approval	Updated descriptions of controls provided including new tools for active monitoring of infrastructure, improved back up infrastructure, view only access to emergency insight	4 open actions with target dates to complete by 21.6.21 Risk to be monitored by Senior Managers in IMST and DIGG	21.6.21
ADVISE (Detail here any areas of on-going monitoring where an update has been provided to the Committee AND any new developments that will need to be communicated or included in operational delivery)				
Issue	Committee Update	Assurance Received	Action	Timescale
Finance Report for period ending March 2021	The monthly report was presented. The Trust ended the financial year with strong financial standing evidenced by	Movement since m11 report explained	£1.6m CIP not met recurrently carries forward into 2021/22 in addition to the 2021/22 target. New CIP process has been	See CIP plan above

	its cash position (£62m), no debt facility and in compliance with the Better Payments Practice Code. Actual £2.483m surplus as at the end of March 21		designed to support this	
2020/21 Contract Income Update for Q4	Performance risks in relation to contracts with long waiting times were highlighted to the committee	Schedule of contracts > £200k RAG rated for signature, finance and performance	Revised formats to update Trust on income contracts linked to ongoing work on the performance frameworks	quarterly
2021/22 Financial Plan	The Committee approved the financial plan prior to its submission on 24 May 2021. Additional ICS potential sources of funding described.	Trust not expecting to be operating at a deficit – all ICS partners expecting to submit a balanced plan. Financial plan highlighted key issues for awareness	Board to note	24 May 21
Transformation Portfolio Report	The committee was presented with the monthly report for April including risks to delivery	Project milestones for all programmes. 4 programmes on track, Leaving Fulwood and some People Plan workstreams have slipped, Therapeutic Environments Programme at risk of slippage	Business case for Fulwood to BPG and FPC in June	June 21
ASSURE (Detail here any areas of assurance that the Committee has received)				

Issue	Committee Update	Assurance Received	Action	Timescale
Directorate Performance reviews Feb 21	Reviews received	Feedback and summary of outcome received		
Review Board Assurance Financial Risks	3 BAF risks relating to IT infrastructure, delivery of a break even position and a new risk delivery of the organisation's transformation projects were reviewed	That two closed risks from 2020/21 are carried forward in the IT infrastructure and break even position BAF risks for 2021/22		
FPC annual review of effectiveness	Draft Report considered	Committee agreed draft	Review committee workplan in light of effectiveness review	July 21
FPC Annual report into Audit and Risk Committee	Draft Report considered	Committee agreed draft	To go to Audit Committee	July 21

COMMITTEE ALERT, ADVICE, ASSURANCE REPORT TO BOARD

Committee:	People Committee
Meeting Date:	11 May 2021
Chair:	Heather Smith

KEY ITEMS DISCUSSED AT THE MEETING

TO ALERT (Alert the Committee/Board to areas of non-compliance or matters that need addressing urgently)

Issue	Committee Update	Assurance Received	Action	Timescale
Staff Engagement – Audit Report	The committee received the report undertaken by 360 Assurance which resulted in a 'Limited' assurance finding.	Partial	A number of specific actions had been agreed between the auditor and those responsible. Some of these had been implemented but others remained open. The committee will monitor progress	Audit actions due for completion by 30 June 2021. Committee to receive progress report in July 2021.
Update on recruitment of registered nurses	The committee received an update on numbers but recognised issues remained unresolved.	Partial	More reporting requested in relation to retention, exploration of a 'Plan B' if we can't get the numbers, and request to revisit targets.	Update in July 2021

ADVISE (Detail here any areas of on-going monitoring where an update has been provided to the Committee AND any new developments that will need to be communicated or included in operational delivery)

Issue	Committee Update	Assurance Received	Action	Timescale
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Staff survey, Big Conversation, Health and Wellbeing action plan	The committee received updates on a number of significant areas of focus that it is hoped will make a difference, and agreed the work to be done in order to obtain greater assurance about impact.	Partial	Committee to continue to monitor and report upwards to Board	Reporting in July 2021 and September 2021
Long term sickness absence	From the performance dashboard, LTS absence can now be seen to be significantly lower than a year ago (SPS control chart)	Full	Committee to continue to monitor this and other HR performance measures and report upwards to Board	Next report: July 2021
Staff COVID vaccinations	We have not yet reached our target	Partial	Continued efforts being made to engage staff. Request to have detail of Bank staff rates.	July 2021

ASSURE (Detail here any areas of assurance that the Committee has received)

Issue	Committee Update	Assurance Received	Action	Timescale
Governance Review	Confirmed addition of Equality, Diversity and Inclusion group, to report into People Committee	Partial (ToR still to be concluded)	Committee to continue to receive Governance Review updates	July 2021
Policy approval framework	Addition of Step 5 to take into account Health and Wellbeing of workforce was welcomed	Full	Now embedded	July 2021 onwards

COMMITTEE ALERT, ADVICE, ASSURANCE REPORT TO BOARD

Committee:	Quality Assurance Committee
Meeting Date:	12 May 2021
Chair:	Sandie Keene

KEY ITEMS DISCUSSED AT THE MEETING

TO ALERT (Alert the Committee/Board to areas of non-compliance or matters that need addressing urgently)

Issue	Committee Update	Assurance Received	Action	Timescale
Safeguarding Adults	The committee received the Q3 and Q4 reports	Assurance received in relation to development of team and move to Ulysses Gaps remain around data	The committee will continue to receive quarterly monitoring reports	Quarterly as per committee schedule
Medicines Management	The committee received the Q4 report for Medicines Safety	Some gaps in relation to learning culture for controlled drugs	May necessitate advice from Counter Fraud – to be explored	Action for next meeting, quarterly reporting as per schedule

ADVISE (Detail here any areas of on-going monitoring where an update has been provided to the Committee AND any new developments that will need to be communicated or included in operational delivery)

Issue	Committee Update	Assurance Received	Action	Timescale
Firshill Rise	The committee received an update following the recent	Assurance in relation to immediate action, while noting	Action Plan in place following	To be update at next committee meeting

	incident and inspection of the service	the need for close monitoring Further assurance sought on lessons learnt and safety of service users	CQC visit	in June.
ASSURE (Detail here any areas of assurance that the Committee has received)				
Issue	Committee Update	Assurance Received	Action	Timescale
IPQR	The committee received the full IPQR to review as per the terms of reference	Assurance received and continued monitoring of risks	Requested plan for development of the datasets	To be advised on progress at next round of committee meetings
Improvement in committee triangulation		The committee noted improvement alignment and linking up of issues and reports which aided triangulation of information received	None	