

Annual Report 2020/21



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Chair's Introduction

The year 2020/21, my first as Chair of the Audit Yorkshire Board, has been an interesting and rewarding one. In my view, the organisation's response to the challenges raised by the pandemic has been exemplary, re-enforcing its reputation for professionalism and innovation, as evidenced by the content of this, its Annual Report.

Throughout this period Helen Kemp-Taylor and her team have continued to provide first class customer service, demonstrating high levels of diligence, resilience and flexibility, while at the same time responding to the need to work in new, different, and creative ways in order to continue to provide the services its clients rely upon.

During this past year the Audit Yorkshire Board, drawn from its membership, has provided excellent support and guidance, and my thanks go to them for remaining so committed and engaged during these challenging times. On behalf of all of the Board I would like to express our thanks to York and Scarborough Teaching Hospitals NHS Foundation Trust for the excellent work they do as host organisation for Audit Yorkshire; their support is very much appreciated.

Looking forward, new challenges continue to present themselves, such as the formation of Integrated Care Systems and the dis-establishment of existing Clinical Commissioning Groups, but I have no doubt that Helen and her team, with the Board's ongoing support, will meet these challenges successfully in the year ahead.



*Bryan Millar
Chair of Audit
Yorkshire Board*

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Executive Summary

Welcome to Audit Yorkshire's Annual Report for 2020/21.

The last year has been like no other for the NHS, due to COVID-19 which has affected us all – staff, our families, our Members and clients alike. We began the year in a lockdown, and have worked from home predominantly for the whole of the year. The pandemic has presented us with a significant number of challenges but also some opportunities. It is with great pride that I can report that we have supported 'our' organisations, by meeting our agreed programmes of work, providing meaningful Head of Audit Opinions and re-deploying staff to help deal with COVID-19 work. We have also re-set our Strategy and improved our financial position whilst as a not-for-profit organisation delivering our corporate social responsibility through the local investment of our pay bill.

We have embraced innovative ways of working too, allowing us to work remotely using digital tools to ensure our internal audit and local counter fraud services could be maintained. As we move forwards we are reviewing how our services are provided and how we can retain some of these innovations as we strive to ensure that we learn and improve our services wherever possible.

The strong relationships we have built with our Members and clients have ensured, that despite COVID-19 we have pulled together in resilient yet flexible ways to ensure that 'our' organisations continue to receive the high quality services they have come to expect from Audit Yorkshire. The pandemic has accelerated integrated working and we intend to fully support the emerging ICS' in the same way and provide better quality services through collaboration.

I would like to thank every member of staff for their hard work, dedication and resilience over this very difficult year. I would like to also thank the Audit Yorkshire Board for standing alongside us in our commitment to deliver the best services we can.



*Helen Kemp-Taylor
Head of Internal Audit
Audit Yorkshire*



In 2020/21 Audit Yorkshire had 22 Members and 10 clients. Membership is open to NHS statutory and associated Bodies and non-NHS organisations, which are prepared to adhere to the rules, laid down in our Constitution. Membership provides benefits and incurs risks, in direct proportion to the size of contract with Audit Yorkshire regarding the deployment of the resources of Audit Yorkshire.

Members

- Bradford District Care NHS Foundation Trust
- Bradford Teaching Hospital NHS Foundation Trust
- Calderdale & Huddersfield NHS Foundation Trust
- Calderdale and Huddersfield Solutions Ltd
- Harrogate and District NHS Foundation Trust
- Harrogate Integrated Facilities
- Humber Teaching Hospital NHS Foundation Trust*
- Leeds & York Partnership NHS Foundation Trust*
- Mid Yorkshire Hospitals NHS Trust
- NHS Bradford Districts and Craven Clinical Commissioning Group
- NHS Calderdale Clinical Commissioning Group
- NHS East Riding of Yorkshire Clinical Commissioning Group*
- NHS Greater Huddersfield Clinical Commissioning Group
- NHS Hull Clinical Commissioning Group*
- NHS North East Lincolnshire Clinical Commissioning Group*
- NHS North Kirklees Clinical Commissioning Group
- NHS North Lincolnshire Clinical Commissioning Group*
- NHS North Yorkshire Clinical Commissioning Group
- NHS Vale of York Clinical Commissioning Group
- NHS Wakefield Clinical Commissioning Group
- York and Scarborough Teaching Hospitals NHS Foundation Trust
- York Teaching Hospital Facilities Management LLP

Clients

- Airedale NHS Foundation Trust**
- Airedale General Hospital Solutions
- Collaborative Procurement Partnership
- Local Care Direct
- National Coal Mining Museum for England
- NHS Professionals
- NHS Leeds Clinical Commissioning Group
- Northern Lincolnshire and Goole NHS Foundation Trust
- South West Yorkshire Partnership NHS Foundation Trust (Counter Fraud)
- Spectrum Community Health CIC

Notes

**we were pleased to welcome these organisations as Members throughout 2020/21*

***we were pleased to welcome Airedale NHS Foundation Trust as a Member from 1 April 2021.*



Key Achievements

- Delivered services across all sectors whilst responding flexibly to the local operational requirements and pressures
- Delivered Head of Internal Audit Opinions at all clients despite the impact of the pandemic
- Provided secondment support to Members
- Produced a Covid-19 Governance checklist
- Circulated Covid-19 costs benchmarking

Response to Covid-19



- Further developed agile working to enable staff to work remotely and in an agile manner
- Increased use of MS Teams and digital solutions to maintain audit delivery and effectiveness during the pandemic
- Improved performance reporting capabilities and templates
- Rolled out automated recommendation tracking to more clients

Innovative Use of Technology



- Promoted the use of data analytics to support remote testing of the financial systems during Covid-19
- Increased the use of data analytics across our clients
- Refreshed the data analytics strategy to reflect new collaborative working arrangements.
- Identified areas outside of finance where data analytics can be applied e.g. analysis of risk registers.

Data Analytics



- Undertook three surveys focussing on staff wellbeing
- Organised staff sessions focussing on resilience and mental health
- Held weekly line manager led meetings, regular one to ones and team meetings
- Two members of staff trained as Mental Health First Aiders
- Promoted attendance at health and wellbeing workshops

Staff Wellbeing



- Issued 12 internal audit newsletters to keep clients up to date on hot topics.
- Produced a regular Covid-19 Fraud Alert Newsletter
- Produced four briefings focussing on;
 - End of EU exit
 - Covid-19 Governance briefing
 - Phase 3 planning letter
 - Financial Control (UHL)
- Undertook benchmarking exercises throughout the year
- Updated our website and maintained our social media presence

Communication



- Worked to the new Government Functional Counter Fraud Standards
- Developed Fraud prevention masterclasses for rollout in 2021/22
- Delivered Fraud awareness presentations remotely across our client base
- Produced Counter Fraud guidance for GP's
- Created a Counter Fraud Champions Network
- Participated in the National Fraud Initiative
- Circulated a briefing on Security Management Standards
- Attended the NHSCFA Quality Assurance Review Group and the NHSCFA's Stakeholder Engagement Group

Anti-Crime



- Produced three briefings regarding:
 - the upcoming cycle of Data Security and Protection Toolkit Audits.
 - the impact of Covid-19 on implementation of the NHS Data Security and Protection (DSP) Standard for 2020/21, and changes to the associated audit programme
 - new Information Governance Resources and Support
- Circulated a Covid-19 Data protection checklist

Information Governance and Data Protection



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Collaboration

In order to share learning and enrich our skills and offerings, we collaborate with a range of organisations including 360 Assurance, Mersey Internal Audit Agency (MIAA), The Internal Audit Network (TIAN) and the Counter Fraud Managers Group on training, benchmarking and service improvements.

Benchmarking

Audit Yorkshire (in collaboration with 360 Assurance and MIAA) published a benchmarking review looking at the Assurance Frameworks of 47 provider organisations and 34 Clinical Commissioning Groups. The review described the differing arrangements in place in key areas such as the content of the assurance framework, responsibility for the assurance framework, the relationship between the assurance framework and risk registers and linkages to strategic objectives. The paper provided a list of questions which organisations were encouraged to consider in relation to their own assurance frameworks.

Events

On 11th September in collaboration with 360 Assurance we hosted a virtual risk management event which was facilitated by Dr Ruth Murray-Webster. The event was tailored towards NHS NEDs and Senior Risk Managers and examined some of the fundamentals of risk management in an engaging and thought-provoking way, tapping into everyone's recent experience of working in a sector at the forefront of the COVID-19 response as a means of exploring some of the concepts.

"Really enjoyable morning, very professionally presented"

"I've got plenty from the training that I can apply in practical situations."

"I found this to be the best organised event of this type that I have experienced since Lockdown. Well done"

Additional Work

In 2020/21 we were successful in a joint bid to NHS Digital to conduct centrally commissioned audit work on the Data Security and Protection Toolkit.

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Corporate Social Responsibility

We have delivered social value in a number of different ways – through our recruitment practices, our environmental commitments and through providing recommendations that promote our clients' and Members' social value.

Whilst our charitable work has been hindered this year due to the pandemic impacting on our ability to meet as a team, we did host a virtual Christmas Jumper Day. The money raised was donated to The Trussell Trust whose network of foodbanks provides emergency food and support to people in crisis.



We Value:

- Customer Satisfaction** Respect our customers to retain their loyalty and trust and seek to exceed their expectations
- Excellence** Committed to being the best we can be
- Integrity** Maintain credibility by ensuring our actions always match our words.

Audit Yorkshire

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