

Board of Directors Meeting in Public

Subject:	Report of the Audit and Assurance Committee	Date: 3 rd December 2020		
Prepared By:	Shirley A Higginbotham, Director of Corporate Affairs			
Approved By:	Graham Ward, NED, Chair of Audit and Assurance Committee			
Presented By:	Graham Ward, NED, Chair of Audit and Assurance Committee			
Purpose				
The Audit and Assurance Committee met on 19 th November 2020. This paper informs members of the significant matters agreed by the Committee for reporting to the Board of Directors:			Approval	
			Assurance	x
			Update	
			Consider	
Strategic Objectives				
To provide outstanding care	To promote and support health and wellbeing	To maximise the potential of our workforce	To continuously learn and improve	To achieve better value
x	x	x	x	x
Overall Level of Assurance				
	Significant	Sufficient	Limited	None
		x		
Risks/Issues				
Financial	The Audit and Assurance Committee is responsible for ensuring the system of internal control is robust and effective in order to provide high quality, value for money services to patients and provide a safe environment for staff. Safeguarding the reputation of the Trust			
Patient Impact				
Staff Impact				
Services				
Reputational				
Committees/groups where this item has been presented before				
N/A				
Executive Summary				
The Board of Directors is asked to accept the content of the Report and note the items highlighted below:				
<ul style="list-style-type: none"> • Counter Fraud • Internal Audit • External Audit • Register of Interests • Suppliers due diligence • Non-Clinical Policies review 				
The Audit and Assurance Committee met on 19 th November 2020. The meeting was quorate, the Minutes approved, and all outstanding actions are progressing, were covered by the agenda or agreed as closed. There were no declarations of interest pertaining to any items on the agenda.				
The following items were presented and discussed:				
<u>Counter Fraud</u>				
The update included presentation of the Conflicts of Interest draft report which noted progress made but also made 7 recommendations which included the importance of getting all band 7+ staff declarations, through the register of interests.				

Internal Audit

An update was provided on the remaining audits from the 2019/20 noting that the FIP PMO review will commence later in the year. In order to take account of the impact of the 2020/21 financial regime on the functioning of the PMO and Trust FIP requirement going forwards.

An update regarding progress against the 2020/21 plan highlighted that there were 18 pieces of audit work still to be completed for 2020/21, which is challenging, however, good progress was being made and only one audit has not yet commenced, being the Data Quality Framework. It was noted the Trusts implementation of actions at first follow up is 83%.

Committee also received the final stage one Head of Internal Audit Opinion, two actions were noted on the report, both have already been implemented.

External Audit

Committee received the report from KPMG, the external auditors and were informed of the changes regarding the Value for Money assessment.

Register of Interests

Committee received and noted the report, in particular noting that the number of non-compliant band 7+ has reduced from 107 at this stage last year to 79 this year.

Committee also received a report highlighting any individuals that were non-compliant in previous years and this year. The Medical Director attended to inform committee he would be contacting each doctor on the list and asking them to complete their declaration. Committee asked for the Chief Nurse and Chief Operating Officer to be contacted to do the same with the remainder of the list.

Suppliers Due Diligence

The Medical Director and Head of Strategic Procurement provided the committee with a proposal regarding the due diligence process for the selection and ongoing contract management of suppliers of clinical services.

The committee noted the progress and commended the steps being taken to improve contract management arrangements going forward.

Non-Clinical Policies

The report presented to committee highlighted a number of non-clinical policies which had exceeded their renewal date. It was agreed the chair of the committee would email the executive leads for each policy concerned and inform them of the requirement for all overdue policies to be reviewed and updated before the next meeting of the committee.