

## Council of Governors

<b>Subject:</b>	Report of the Audit and Assurance Committee	<b>Date:</b> 9 <sup>th</sup> November 2021		
<b>Prepared By:</b>	Shirley A Higginbotham, Director of Corporate Affairs			
<b>Approved By:</b>	Graham Ward, NED, Chair of Audit and Assurance Committee			
<b>Presented By:</b>	Graham Ward, NED, Chair of Audit and Assurance Committee			
<b>Purpose</b>				
The Audit and Assurance Committee met on 21 <sup>st</sup> September 2021. This paper informs members of the significant matters agreed by the Committee for reporting to the Council of Governors			<b>Approval</b>	
			<b>Assurance</b>	<b>x</b>
			<b>Update</b>	
			<b>Consider</b>	
<b>Strategic Objectives</b>				
<b>To provide outstanding care</b>	<b>To promote and support health and wellbeing</b>	<b>To maximise the potential of our workforce</b>	<b>To continuously learn and improve</b>	<b>To achieve better value</b>
<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>
<b>Overall Level of Assurance</b>				
	<b>Significant</b>	<b>Sufficient</b>	<b>Limited</b>	<b>None</b>
		<b>x</b>		
<b>Risks/Issues</b>				
<b>Financial</b>	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			
<b>Patient Impact</b>				
<b>Staff Impact</b>				
<b>Services</b>				
<b>Reputational</b>				
<b>Committees/groups where this item has been presented before</b>				
N/A				
<b>Executive Summary</b>				
<p>The Council of Governors is asked to accept the content of the Report and note the items highlighted below:</p> <ul style="list-style-type: none"> <li>• Internal Audit – Progress Report</li> <li>• Procurement Annual Report</li> <li>• Freedom to Speak up Process</li> <li>• Register of Interests</li> </ul> <p>The Audit and Assurance Committee met on 21<sup>st</sup> September 2021. 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.</p> <p>The following items were presented and discussed:</p> <p><u>Internal Audit – Progress Report</u></p> <p>360 Assurance updated the outstanding audit from the 2019/2020 plan with regard to FIP has been finalised with limited assurance, due to the timings of committee the report will be presented to Finance Committee on 28<sup>th</sup> September and then to Audit Committee at its November meeting.</p>				

It was noted the internal audit plan was delayed in some areas and in order to ensure audits progress in line with the plan it was agreed, future progress reports will include timelines of when the Terms of Reference and Draft reports were issued, noting the expected approval for both items is within 10 days. The committee also agreed that during the development of the 2022/2023 Internal audit plan an explanatory paragraph will be added to the plan for each audit to aid the development of the Terms of Reference. The final reports from the 2020/21 plan, Consultant Job Planning has been issued for approval.

One review has been issued from the 2021/22 plan – Maternity Services Assessment and Assurance Tool Submission report, which received significant assurance.

#### Procurement Annual Report 2020-2021

Committee received the comprehensive report and noted the challenges which had been overcome during the previous 12 months. Committee were pleased to hear how the procurement team had worked across the system to ensure continuity of critical supplies to partners, including Care Homes.

Committee praised the work of the Procurement Team on their achievements, particularly with regard to working in partnership to increase opportunities and help wider organisations (including supply of PPE to care homes).

Committee recommended the procurement team add Accreditation and focus on the league table to their work programme for the next 12 months.

#### Freedom to Speak up Process

Committee received the report and congratulated Kerry Bosworth on being appointed as the full time Freedom to Speak up Guardian. The committee noted the work already in train to promote Speaking up and particularly noted October as freedom to speak up month.

#### Register of Interests

Committee received and noted the report, noting the number of non-compliant band 7+ at the time of reporting was 95 which was a significant improvement on July 2021 when the number non-compliant was 136. Committee noted, however, that the four members of staff who had been invited to committee to state why they had been non-compliant for a number of years did not attend. The Chair of the committee will contact each person individually to understand their reasons. External audit complimented the work undertaken, with a suggestion that a focus on corporate and clerical and admin staff who are non compliant should be a next step as this could be a risk area.