Healthier Communities, Outstanding Care

NHS
Sherwood Forest Hospitals
NHS Foundation Trust

Audit & Assurance Committee – Cover Sheet

Subject:	Audit and Assurance Highlight Report	**Date:** 7ᵗʰ April 2022
Prepared By:	Graham Ward, Audit Chair and Non-Executive Director	
Approved By:		
Presented By:	Graham Ward, Audit Chair and Non-Executive Director	

Purpose			
The Audit and Assurance Committee met on 15ᵗʰ March 2022. 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 to the report and note the items highlighted below:

- Annual Counter Fraud Plan and Progress Report
- Internal Audit – annual plan and progress report
- Limited assurance internal audit report
- Outstanding Audit Recommendations
- External Audit progress report
- Risk Committee report
- Going concern assessment
- Draft Annual Report and Quality Report preparation
- Declarations of interest
- Standing Financial Instructions and Scheme of Delegation
- Annual Report to Board of Directors

The Audit and Assurance Committee met on Tuesday 15ᵗʰ March 2022. The meeting was quorate, the minutes approved, and all outstanding actions are progressing, were covered on 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:

Counter Fraud
360 Assurance tabled the Annual Counter Fraud Plan which was approved and updated the Committee on the progress against the 2021/22 Plan. This included confirmation that all 12 components of the Functional Standards were now rated Green. The Committee thanked everyone involved for delivering this result.

Internal Audit
360 Assurance tabled the Annual Internal Audit Plan which was approved and updated on the progress against the 2021/22 Internal Audit plan. The Committee again focused their discussion on improving the current 50% implementation rate for follow ups to gain assurance that all was being done to improve this rate for the year end and into 2022/23.

Internal Audit reports – limited assurance
The Committee received a limited assurance report in respect of Anticoagulation Incidents.
The report was presented by the senior action owner who provided the Committee with assurance on what the audit had concluded and how the three medium and one low risk recommendations would be addressed and implemented within the dedicated timescales.

External Audit Plan

KPMG presented the External Audit Progress Report, noting that under the Value for Money Risk Assessment there was one Amber Risk related to financial sustainability.

Declarations of interest
The Committee received and noted the report, noting the number of non-compliant band 7+ at the time of reporting was down to 39 (there were 88 reported as non-compliant in March 2021) which was commended. The Committee agreed to continue to oversee and scrutinise the level of non-compliance.

Standing Financial Instructions and Scheme of Delegation

Subject to an amendment to the Scheme of Delegation to clarify Corporate discretionary spend authorisers alongside DGMs the Standing Financial Instructions and Scheme of Delegation were approved.