

Board of Directors Meeting in Public

Subject:	Report of the Audit and Assurance Committee	Date: 27 th September 2018		
Prepared By:	Graham Ward, NED, Chair of Audit and Assurance Committee, 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 20 th September 2018. 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 our patients	To support each other to do a great job	To inspire excellence	To get the most from our resources	To play a leading role in transforming health and care services
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				
<p>The Board of Directors is asked to accept the content of the Report and note the items highlighted below:</p> <ul style="list-style-type: none"> • Internal Audit – committee approved the reallocation of 9 days from the Quality Account indicator audit, which is undertaken by external audit, to the Patient Safety Alert Audit. • Clinical Audit – committee requested an update on progress, which is being monitored through Patient Safety and Quality Group, to be presented at the next audit committee • Recommendation that Board should consider all options to materially improve the response rate to the register of interests. <p>The Audit and Assurance Committee met on 20th September. The meeting was quorate, the Minutes approved and there were no outstanding actions. There were no declarations of interest.</p> <p>The following items were presented and discussed:</p> <p><u>Counter Fraud</u></p> <p>Progress reported presented and on plan, no additional cases added to investigation. Pre-employment checks, significant assurance. Annual report and trust self-assessment presented and assessed overall score as green.</p>				

Internal Audit Progress Report

Progress report presented, on plan – request to reallocate 9 days from QA indicator audit in plan, which is now undertaken by external audit as part of the year end process, to the Patient Safety Alert audit to ensure a robust and in depth audit. Head of Internal Audit memo presented.

External Audit

The audit duties for the 2017/18 accounts will be complete once presented at the AGM on Monday 24th September. A timeline for the 2018/19 audit was presented and agreed.

Outstanding Audit Recommendations

Agreed to include those recommendations which did not specify an implementation date, this would include the recommendations from the external audit year-end report.

Data Quality Report

Reported a paper was being submitted to the Executive Team shortly to present options with regard to mitigating the risks of funding ceasing in December 2018 and the validation not being completed.

CAS Alerts

Update provided, further report to Patient Safety and Quality Group on the 10th October regarding prioritisation of the 12 alerts identified.

Clinical Audit

Work on going to improve processes, request for update to November Committee.
Acknowledgement that Patient Safety and Quality Group would monitor progress at their monthly meetings

Register of Interests

Committee received an update report on the Conflicts of Interest Report and was asked to consider the removal of rotational posts, Registrars and Clinical Fellows. The committee requested these employees are requested to complete a declaration at their induction. Long Term Locums, CEASR posts are to be added to the register.
It was agreed the register would be scrutinised to ensure all relevant detail was included.