

## Board of Directors Meeting in Public

<b>Subject:</b>	Report of the Audit and Assurance Committee	<b>Date:</b> 7 <sup>th</sup> May 2020		
<b>Prepared By:</b>	Graham Ward, NED, Chair of Audit and Assurance Committee, 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 24 <sup>th</sup> April 2020. This paper informs members of the significant matters agreed by the Committee for reporting to the Board of Directors.			<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 Audit and Assurance Committee met on 24<sup>th</sup> April 2020. The meeting was quorate, the Minutes approved and there were no outstanding actions. There were no declarations of interest. The meeting was held via video conferencing. All members confirmed they could hear and participate in the meeting.</p> <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"> <li>Internal Audit Progress Report</li> <li>Draft Head of Internal Audit Opinion</li> <li>External Audit Progress Report</li> <li>Draft Annual Accounts</li> <li>Draft Annual Report</li> <li>Quality Account preparation</li> </ul> <p>The following items were presented and discussed:</p>				

### Internal Audit Progress Report

Committee were assured by the progress identified in the report noting the reduction in actions closed at 79%, due in part to the impact of the COVID-19 incident. The Pentaner action tracking system is still to be updated with evidence with regard to outstanding actions, which has also been delayed due to the incident.

It was noted that the initial audits for 2020/21 would be Conflict of Interest, Governance (to include Covid-19) and Risk, all of which can be undertaken without impacting on any of the clinical areas.

### Draft Head of Internal Audit Opinion

The HOIA Opinion is likely to be significant assurance despite a few audits still outstanding. The final report will be presented to the June meeting of the committee prior to the submission of the Annual Report and Accounts.

### External Audit Progress Report

The report described the impact of the COVID-19 incident on the risk assessments, particularly with regard to valuation.

The audit is being undertaken remotely, and this will therefore take longer than usual, but this has been reflected in the revised national timetable, which will be met.

### Draft Annual Accounts

The draft annual accounts were presented which reflected the guidance received to date, it was noted further guidance had been issued and this would be reflected in the draft accounts which are due for submission on 27<sup>th</sup> April 2020. The final version of the accounts including the final PSF allocation will be presented to committee 22<sup>nd</sup> June 2020 prior to submission.

Committee congratulated the Finance Team on achieving the control total and financial year end on time in the current challenging circumstances.

### Draft Annual Report

The draft annual report including the Annual Governance Statement was presented and committee noted this would be revised to reflect further guidance which had been issued. External audit will review the final version of the report in May prior to presentation at the June meeting of the Committee.

### Draft Quality Account Process

The revised guidance had indicated there was no requirement for a quality report to be included in the annual report for 2019/20. However, a quality account was still required. Further guidance with regard to the submission is awaited, it is expected this will be in the Summer. Overview and Scrutiny Committee, the CCG and Healthwatch have been informed and support the pausing of the report.

### Internal Control issues – Board Committees

Committees had not met since the last Audit and Assurance Committee.