

Council of Governors Meeting in Public

Subject:	Report of the Audit and Assurance Committee	Date: 12 th November 2019		
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 2019. This paper informs members of the significant matters agreed by the Committee .			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				
<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"> Internal Audit Progress Report Internal Audit Report – Limited Assurance <ul style="list-style-type: none"> Mental Capacity Act and Deprivation of Liberty External Audit Progress Report Outstanding Audit Recommendations Register of Interests Report Single Tender Waivers Scheme of Delegation Review Speaking up Arrangements Audit Committee Maturity Matrix <p>The Audit and Assurance Committee met on 20th September 2019. 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>				

Internal Audit Progress Report

Two reports had been completed in the period, one was included on the agenda and the other was due to be published shortly.

The recommendations completed in the period have increased to 90% (from 78.6% last year). Improvement in this area has been a key focus for the committee during the year and this will continue with the implementation of the electronic monitoring system being implemented by 360 Assurance to record completion and updates against recommendations. It is envisaged this will improve reporting to committee and give an overview of the risks with regarding to the outcomes of internal audit for triangulation with the Trusts risk registers.

There was a verbal update of phase one of the Head of Internal Audit Opinion and no areas of concern were raised.

Internal Audit Report - Limited Assurance, Mental Capacity Act and Deprivation of Liberty

Committee received the report and noted the actions identified to address the 1 high risk, 6 medium risks and 1 low risk recommendations. Given the importance of this area with respect to quality of care the committee asked for the progress against the actions to be presented to the next meeting of the committee. It was agreed progress would also be monitored through PSQG and escalated to Quality Committee if appropriate.

External Audit reports

External Audit PWC, presented a short report, noting the structural changes in process at PWC to establish a stand-alone audit function. This may lead to a number of changes including the audit personnel for the Trust. PWC will provide a further update at the next committee meeting.

Register of Interests Report

Committee received the report and noted the significant improvements in compliance, with 16.7% (147 staff) non-compliant compared to 38.6% (370 staff) at this point in 2018/19.

Committee were also pleased to note the inclusion of the declaration of interest in Medical Appraisals from April 2020.

This has been an area of focus for the committee during the year and will continue to be so.

Single Tender Waivers

Two single tender waivers were included in the report; committee received, noted and challenged the report. Both of the items on the report were scrutinised and recommendations suggested ensuring a more robust process in terms of market testing tenders going forward.

Scheme of Delegation Review

The Scheme of Delegation was presented and agreed by the committee for onward submission to the Board in November for approval with two suggested amendments which would be finalised and agreed outside of the meeting before presentation to Board.

Speaking Up Arrangements

Committee considered the report regarding the process for speaking up arrangements and sought further assurance regarding reporting of concerns and the effectiveness of the processes. It was established that the operational reporting of concerns would be through the People, OD and Workforce Committee which would be asked to report to this committee on the level of assurance received relating to effectiveness of the processes and concerns raised, highlighting any risks identified.

Maturity Matrix

Members of the committee have undertaken a self-assessment review against the maturity matrix developed by 360 Assurance. Due to the limited number of responses it was agreed that all attendees at committee would be requested to complete the self-assessment including external attendees, the self-assessment had also been sent to previous members of the committee. This will enable a more rounded view of the committee and further development of the suggested actions to improve and enhance the Audit Committee processes.

It was agreed that 360 Assurance would facilitate a development session for the committee after its next meeting to agree the self-assessment scoring and finalise the actions.