

Board of Directors Meeting in Public

Subject:	Report of the Audit and Assurance Committee	Date: 5 th December 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 22 nd November 2019. 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				
<p>The Audit and Assurance Committee met on 22nd November 2019. The meeting was quorate, the Minutes approved and there were no outstanding actions. There were no declarations of interest.</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"> Counter Fraud Progress report Internal Audit Progress Report including HIOA Work programme External Audit Progress Report Outstanding Audit Recommendations inc : Mental Health Capacity & Deprivation of Liberty Safeguards Audit Recommendations Update Register of Interests Report Single Tender Waivers Board Assurance Framework <p>The following items were presented and discussed:</p>				

Counter Fraud Progress Report

Committee received the report and update from the Counter Fraud Specialist. Committee were informed there had recently been a counter fraud awareness month; the key issues being raised were in regard to cyber security. The team were also working with the Communications team to develop a short counter fraud video for use at induction and/or on screens around the Trusts sites to raise awareness. Committee were informed the investigation noted in the report had been resolved and closed.

Internal Audit Progress Report

One report had been completed in the period since the last audit, Data Quality Framework (significant assurance). A report with regard to the Head of Internal Audit Opinion work programme was included in the progress report, stage 1 has been completed and stage 2 of the programme was in progress in line with timelines. The implementation rates for recommendations from internal audit reports were 95.5% which is a great achievement and a key area of focus for the committee.

External Audit reports

External Audit PWC presented a short report, noting the timeline for the external audit which commenced in November 2019. Committee were also informed the management arrangements for PWC would remain the same

Register of Interests Report

Committee received the report and noted the significant improvements in compliance, with 107 staff non-compliant compared to 147 staff non-compliant in September. The full register and list of non-compliant staff were shared with the committee, who were informed the newly appointed medical director had emailed all Doctors who are non-compliant. It was proposed to invite the Clinical Chairs of divisions with the largest non-compliance rates to the next meeting of the committee.

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

Single Tender Waivers

One single tender waiver was presented for approval, committee complimented the procurement team on the process and achieving the savings.

Board Assurance Framework

The Board Assurance Framework Document was presented, it was noted the document had previously been approved by the Board and was presented to committee for information as the timings of the report had been disrupted. It had been agreed to have a board development session with regard to the risk descriptions and scorings in the new year, to revise the BAF for April 2020.

Any Other Business

The Chair of the Quality committee raised an issue regarding Dementia Screening which had been raised at Quality Committee; the chair raised the issue as a potential internal control issue. . It was agreed that a review of this area should be considered as part of next year's internal audit programme.

The committee discussed the implications of internal control issues in other committees and agreed to add on to the agenda as a standing item going forward. This would help inform the Annual Governance Statement which forms a key part of the Annual Report