

## Council of Governors

<b>Subject:</b>	Report of the Audit and Assurance Committee	<b>Date:</b> 10 <sup>th</sup> November 2020		
<b>Prepared By:</b>	Graham Ward, NED, Chair of Audit and Assurance Committee,			
<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 17 <sup>th</sup> September 2020. This paper informs members of the significant matters agreed by the Committee for reporting to the Council of Governors			<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 Council of Governors are asked to accept the content of the Report and note the items highlighted below:</p> <ul style="list-style-type: none"> <li>• Internal Audit Plan</li> <li>• External Audit</li> <li>• Register of Interests</li> <li>• Committee Maturity Assessment Review</li> </ul> <p>The Audit and Assurance Committee met on 17<sup>th</sup> September 2020. The meeting was quorate, the Minutes approved, and all outstanding actions are progressing, were covered by the agenda or agreed as closed. There were no declarations of interest.</p> <p>The following items were presented and discussed:</p> <p><u>Internal Audit Plan</u></p> <p>Following consultation with their clients 360 Assurance has advised the Trust that there will be a 25% reduction in the 2020/21 internal audit plans. The impact of this was discussed at the Risk Committee Meeting on 10<sup>th</sup> August (which was attended by 360 Assurance and the Chair of Audit Committee) and a revised audit plan was discussed and approved by the Audit Committee.</p>				

It was confirmed that the revised audit plan would not impact on 360 Assurance's ability to give their Head of Internal Audit Opinion at the end of the year and that KPMG as external auditors were content with the revisions.

It was noted that the revised plan reduced the 360 Assurance days from 279 to 212 reflecting the 25% reduction but recognised that it will still be a challenge to deliver all these days and the associated work. It was agreed that communication would be made to all senior managers in areas that are subject to internal audit to fully support 360 Assurance on a timely basis to help the delivery of the plan.

#### External Audit

The committee welcomed KPMG to their first meeting since their appointment as the Trust's external auditors.

They presented a financial benchmark report which was welcomed and noted. It was also agreed that the report would be presented and discussed at a forthcoming Finance Committee

#### Register of Interests

Committee received and noted the report, in particular noting that the number of non-compliant band 7+ has reduced from 209 at this stage last year to 132 this year.

It was agreed that a report highlighting any individuals that were non-compliant last year and were still non-compliant this year would be discussed at the next meeting with a view to agreeing appropriate actions for these individuals.

#### Committee Maturity Assessment Review

The committee received and discussed the progress made against the previously agreed actions arising from the review of the maturity assessment matrix prepared by 360 Assurance. It was generally agreed that good progress had been made and it acted as a timely reminder of the changes made and that they were now embedded in business as usual.

360 Assurance were thanked for their help with this exercise and it was agreed that, if possible, a similar process should be considered by the other committees. 360 Assurance advised that they were in the process of preparing a maturity matrix for quality committees and would consider looking at other areas too.