



Committee/Group 'Triple A' Chair's Report

Name of Committee/Group	Audit Committee	Reporting to:	Trust Board
Date of the meeting:	17 July 2019	Parent Committee:	Trust Board
Chair:	Mark Tattersall	Quorate (Y/N)	Y

Agenda Item:	RAG	Key Points	Actions Required	Action Lead	Expected Date for Completion
MIAA – Internal Audit Consultant Job Planning Final Report		Limited Assurance rating received for the Consultant Job Planning Final Report with one high, two medium risks noted. The Committee noted and assured that actions were already underway.	Further development for job planning training and development of the process will be delivered with the appointment of a new substantive Manager. A new Head of Business Intelligence will commence in June 2019 who will, in conjunction with the COO develop a Trust wide report on status of actual delivery of duties versus plan	JK/JG JS/Head of BI	September 2019 October 2019

			Guidance to Consultant Job Planning currently in draft format.	JG	August 2019
MIAA – Internal Audit Follow Up Report Complaints and PALS		The Committee noted that significant progress had been made towards the implementation of agreed actions acknowledging that all actions had been completed except for one.	Learning from complaints and PALS partially implemented.	SR	Action deadline updated from January 2019 to September 2019
Revised Audit Tracker		The Committee noted the responsibility for the oversight of the Audit Tracker has moved to the Associate Director of Corporate Governance and the extent of the work required to ensure receipt of an audit tracker that is fit for purpose. Therefore agreed to defer receipt of this until September 2019.	Re-draft the audit tracker and establish a robust process for liaison with the relevant managers.	AW	September 2019
2018/2019 Annual Accounts Lessons Learnt		The Committee discussed and acknowledged the reflective paper on lessons identified from the late submission of the Annual Accounts to NHS Improvement and the External Auditors. In addition, there were higher than expected number of disclosures and internal consistency issues. The Committee noted the planned changes to the process for the	Changes have been made to the process for the 2019/2020 Accounts	PC	Completed

		2019/2020 Accounts.			
Risk Escalation Process		<p>The Committee noted that revised approach to Risk Management with the introduction of the elevated Risk Management Committee which is now chaired by the CEO.</p> <p>In light of the significant piece of work to be completed relating to the risk register and the Board Assurance Framework (BAF), the Committee agreed to defer receipt of Quarter 1 of the BAF until September 2019</p>	<p>Risk Assessment training to be delivered across the Trust by an external provider</p> <p>BAF to be restructured and further developed.</p>	<p>GM</p> <p>AW</p>	<p>October 2019</p> <p>September 2019</p>
External Audit – Tender Process		<p>The tender process to appoint the Trust’s External Auditors was due to take place in 2018. Due to unforeseen circumstances this did not occur resulting in the Board agreeing a single tender waiver for 12 months.</p> <p>The contract is due to end on 30 September 2019 and therefore the tender process was agreed.</p>	<p>Focus group with finance, Non-Executive Directors in conjunction with Governor representation will take place on Monday 22 July 2019 where the relevant documentation and timetable will be agreed.</p>	<p>PC</p>	<p>22 July 2019</p>
MIAA – Internal Audit Follow Up Report Research Funding		<p>The Committee noted the achievements in the implementation of the actions resulting in an improvement in assurance level from limited to substantial.</p>	<p>None required</p>	<p>N/A</p>	<p>N/A</p>
2018/2019 Anti-Fraud Annual Report		<p>The Committee noted the content of the report including the Trust’s self-assessment against the NHS Counter Fraud Authority’s Fraud, Bribery and Corruption Standards for Providers</p>	<p>Fraud risk management activity to be aligned with Trust’s Risk Management Policy.</p>	<p>JT</p>	<p>October 2019</p>

		with an overall rating of 'Green'. The declaration was submitted within the timescales required.	Conflict of Interest Policy to be aligned with the National Guidance	AW	July 2019
Director of Finance Report		The Committee welcomed the first report by the Director of Finance which providing the Committee with updates on relevant financial events and issues and will identify any issues that may require further review during the audit cycle.	N/A	N/A	N/A
Conflicts of Interest Policy		The Committee reviewed, discussed and approved the policy (subject to minor amendments) for onward final approval at Trust Board.	Amendments to: <ul style="list-style-type: none"> • Template registers • Add Consultants to list for declaration • Value of gifts increase from £25 to £50 that do not require declaration • Additional text relating to Bribery and Corruption section. 	AW	July 2019 Completed
Tender Waiver Process		The Committee approved the new Standard Operating Procedure setting out the process to be followed for single tender waivers, noting clarity had been provided.	Dissemination of the Standard Operating Procedure and presentation of the Tender Waiver Register at the next	AW	July 2019

		The tender request form has been updated to include declarations of conflicts of interest.	Audit Committee		
Debt Management Policy		The Committee approved a new Debt Management Policy	Implementation of the Policy	JT	Completed

KEY

	ALERT the Committee on areas of non-compliance or matters that need addressing urgently
	ADVISE the Committee on any on-going monitoring where an update has been provided to the sub-committee and any new developments that will need to be communicated or included in operational delivery
	ASSURE the Committee on any areas of assurance that the Committee/Group has received

