Agenda item: 17.1

The Queen Elizabeth Hospital King's Lynn
NHS Foundation Trust

## Committee Chair's Assurance Report

| | |
|---|---|
| **Report to:** | Board of Directors (in Public) |
| **Title of Report:** | Assurance Report from the Audit Committee |
| **Date of meeting:** | 1 December 2020 |
| **Recommendation:** | For assurance |
| **Chair:** | David Dickinson, Non-Executive Director |
| **Purpose:** | The report summarises the assurances received, approvals, recommendations and decisions made at the Trust's Audit Committee meeting on 9 November 2020. |
| **Background:** | The Committee meets no less frequently than quarterly. Its purpose is to provide independent assurance of the adequacy of the Board Assurance Framework and associated control environment, independent scrutiny of the Trust's financial, non-financial and quality performance to the extent that it affects the Trust's exposure to risk and weakens the control environment and to oversee the financial reporting process.<br><br>The work of the Committee will facilitate the completion of the Annual Governance Statement by the Accounting Officer |
| **Item for Escalation:** | **Waivers, Losses and Gifts, Hospitality and Sponsorship**<br>The Committee received the report detailing waivers and losses and noted these items. The Committee requested a deep dive on pharmacy losses due to the increased level noted in the report.<br><br>The Committee had an extensive discussion on the need to take a proactive approach to declarations of interest, gifts, hospitality and sponsorship. The Committee reiterated the importance of staff understanding this is a process which protects staff and the Trust. The Committee requested that the Committee receive regular reports on declarations of interest alongside the gifts, hospitality and sponsorship register reports. |
| **Item for Assurance:** | **Clinical Audit Quarter 2 Performance Report**<br>The Committee received the clinical audit report detailing the quarter 2 performance. The Committee noted that the cancellation of audits were the nationally defined audits with good progress was being made on clearing the backlog. The Committee were informed that 31 audits are currently in progress.<br><br>The Committee acknowledged the good progress and discussed the issue of how to raise the levels of staff engagement with consideration given as to how to raise the profile of clinical audit. |

| | |
|---|---|
| **Item for Assurance:** | **Internal Audit**<br>The Committee received the update report from the Internal Auditors. The Committee was informed that the Trust is half way through the current programme with a significant amount of work still to complete. The Committee discussed the requirements of an additional meeting in January in advance of the final meeting of the year in March. It was agreed that a January meeting would take place.<br><br>The Committee sought assurance on the completion of the audit programme given the delay in some audits and the profile of the remaining audits for the second half of the year.<br><br>The Committee was also informed that a more systematic approach would be taken for the internal audit recommendation follow-up process.<br><br>Initial discussions had taken place on the audit planning process for next year considering the audit plan was constructed at the time of the tender process. The plan for 2021/22 is almost four years out of date so appropriate to have a more detailed review.<br><br>The Committee reviewed the internal audit on Serious Incident Reporting and recognised the good outcome and thanked those involved in this reporting process.<br><br>The Committee received the update from Counter fraud and noted the work completed in preparation of the fraud survey that is due to be launched. The Counter Fraud team had agreed a communication plan with the Trust's communication team.<br><br>The Committee was also informed of the status of the pro-active counter fraud work that was ongoing. |
| **Item for Assurance:** | **KPMG Health Technical Update**<br>The Committee received the External Auditor's technical update and was made aware of the upcoming changes to value for money, going concern requirements and the publication of the group accounting manual. These items would be discussed in more detail at future Committee meetings as part of the preparation and consideration of the year-end financial statements. |
| **Item for Assurance:** | **Information Governance Breaches**<br>The Committee received the information governance report. The Committee discussed the process and oversight of this report and a request to improve the layout and information within the report was requested. The Committee noted the contents and sought assurance that further follow-up work was being undertaken rather than actions being noted and closed down. The Committee also recognised the requirement to ensure all training continues to address some of the issues raised. |
| **Item for Assurance:** | The Committee was informed that the Trust had been chosen to take part in the national cost collection audit assurance programme based on the Trust's most recent submission. The Finance & Activity |

| | |
|---|---|
| | Committee will oversee the assurance process with both the Audit Committee and Finance & Activity Committee being updated on progress and the outcomes of the assurance programme. |
| **Risks to refer to risk register:** | None identified. |
| **Other items of business:** | None identified |

**Attendance**

**Attendees:** D Dickinson - Non-Executive Director and Committee Chair
G Ward – Non-Executive Director
I Mack – Non-Executive Director
C Benham – Director of Finance
A Prime – Trust Secretary
C Wilson - KPMG
CT McLaughlin - Grant Thornton internal audit
S Evans - Grant Thornton Internal Audit
S Pooni - Grant Thornton Local Counter Fraud Service
M Robertson – Grant Thornton Local Counter Fraud Service

**Invitees:** C O'Brien – Director of Patient Safety

**Apologies:** C Shaw – CEO
S Beavis - KPMG