

### AUDIT COMMITTEE

Key summary points from the meeting held on **Friday 14 September 2018**

Audit Committee welcomed new Chair Tony Bristlin and thanked Clive Deadman and Clare Jowett for their time on the Committee. They also welcomed Harmesh Dharbanga back to the meeting.

#### 1. Internal Audit

##### (i) Internal Audit Programme

- Noted the CIP Audit was in progress and the draft report should be completed October in order for the organisation to meet any recommendations that are made. Agreed that finalised report would be circulated to Audit Committee Non-Executive Directors but added as soon as finalised to the next Performance Committee agenda prior to the next Audit Committee meeting in December.
- Never events Internal Audit – has been required by Chair and TOR/Scope discussed with DL, DF and EB. Agreed that Internal Audit would circulate Scope of Review to audit Committee who asked that scope include transparency and shared learning.

##### (ii) Care Group Governance Audit Report

The report gave moderate assurance with 2 high priority recommendations.

- a) Unplanned expenditure in Unscheduled Care Group – Audit Chair felt this was a key issue for the Board to support the Executives in delivery.
- b) Quality of meetings needs to be more consistent and include approval and follow up processes.

This report will be presented to the Senior Leadership Team Meeting to ensure shared understanding of the issues and the solutions.

Audit	Opinion	No of Recommendations	Committee
Care Group Audit	Moderate	2 high; 9 medium; 3 low	Senior Leadership Team

Internal Audit have been asked to review both recommendations following implementation and report back to Audit Committee on outcomes. It was felt both issues reflected a governance issue in the Care Groups.

##### (iii) Counter Fraud Work plan

Noted the progress to date and in particular the importance of introducing a time shifting Policy and that a sample policy had been shared with the HRD and MD. Audit Committee felt that this was an important issue and have asked the Workforce Committee to oversee its development.

#### 2. KPMG Annual Audit Letter

Noted this again summarised key issues from 2017/18 Audit.

- (i) Issued unqualified opinion on Trusts accounts.
- (ii) Confirmed they had no issues to report as result of their work on the financial statements.
- (iii) Confirmed that the Trust complied with DOH requests.
- (iv) Noted that Trust breaches its financial duties to break even and therefore this has been referred to SOS.

#### 3. Audit Recommendation Tracking

Noted the current position and discussed at some length. Audit Committee will be asking Safety and Workforce Committees to review Risks in light of later CQC reports.

#### 4. Board Assurance Framework

The Committee:

- Considered the Board Assurance Framework and agreed that Quality & Safety Committee and Workforce Committee should be asked to look at the issues raised specifically by the CQC inspection and workforce culture issues.

**5 Recommendation Tracking**

The Committee was pleased to note that there were no outstanding recommendations. It was agreed to extend the implementation date of 23 recommendations, but noted that 17 only needed a short extension of a few weeks. These were agreed. There were longer extensions requested for six IT actions and it was agreed that further explanation would be sought from the Deputy Director of Finance. A further 21 recommendations had been closed.

**Name of Chair:** Clive Deadman

**Date report prepared:** 14 September 2018

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