

Escalation and Assurance Report

Report from the: Audit Committee

Date of meeting: 8 February 2021

Report to the: Board of Directors

Agenda
Item

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Key escalation and discussion points from the meeting

Alert:

- None

Advise:

- The committee reviewed an internal audit report on Sickness Management which had a Limited Assurance rating. As part of the BCP arrangements, the Trust temporarily relaxed the sickness triggers due to elevated absences in relation to COVID-19. The audit found that there was a need to further embed the principles outlined in the Supporting Attendance Policy in order to improve compliance. Eleven recommendations to improve performance have been agreed with management; nine have been implemented and the remaining two are in hand.
- The committee reviewed and noted the circumstances relating to four payments to service users totalling £4,085 for the loss of personal property which occurred in different inpatient wards. Management is undertaking a review of the procedures and compliance with them for securing service users' personal property including the provision of training to staff. An internal audit in this area is planned.

Assure:

- The committee approved the close down plan for the preparation, approval and publication of the 2020/21 annual accounts.
- The committee approved two waivers to compliance to full procurement procedures. These related to the provision of specialist maintenance services and continuance of consultancy services. The committee was satisfied that the justification for each transaction was reasonable.
- The committee reviewed and approved KPMG's audit plan for the 2020/21 annual accounts including the audit fee.
- The committee reviewed and approved a new risk based three year strategic internal audit plan for 2021/22-2023/24 including the fee for 2021/22.
- The committee received assurance from nine other internal audit reports; five were rated High Assurance and four Significant Assurance. Additionally, assurance was also received on the completion of management agreed actions.
- The committee received reassurance from Audit Yorkshire that there continues to be good progress against the annual plan.

- The committee considered an interim report from Audit Yorkshire on their assessment of the committee against the Audit Committee Maturity Matrix. The committee was found to be well-rounded and further development work is planned.
- The committee reviewed and approved changes to the Corporate Risk Register and confirmed that appropriate systems, processes, and governance are in place to manage the Corporate Risk Register.
- The committee reviewed the changes to the Board Assurance Framework and considered the controls and assurances in place, the gaps in controls and the actions identified in mitigation.

Risks discussed:

- All Corporate Risk Register risks except 2297 and 2302.
- Risks 1831 and 2266 closed and archived.

New risks identified:

- None

Report completed by:
Andrew Chang, 1 March 2021