

AUDIT AND ASSURANCE COMMITTEE held 4 December 2020

HIGHLIGHT REPORT

The key headlines/issues and levels of assurance are set out below, and are graded as follows:

Strength of Assurance	Colour to use in 'Strength of Assurance' column below
Low	Red - there are significant gaps in assurance and/or not properly assured as to the adequacy of action plans/controls
Medium	Amber - there is reasonable level of assurance but some issues identified to be addressed.
High	Green – there are no gaps in assurance and there are adequate action plans/controls

Report	Assurance level	Committee escalation	ORR Risk
Internal Audit Progress Report / HoIAO Programme	HIGH	Audit plan on track. Follow ups are currently at 98%. No recommendations from HoIAO stage 1 review.	All
Covid impact on control frameworks	HIGH	An extra paragraph informing the committee of any changes to the plan and learning points due to Covid, to be part of the progress report going forward. Noted LPT are the lead employer the for Covid vaccination for LLR and may require a piece of work to be undertaken around assurance regarding the arrangements in place	All
External Audit Progress Report	HIGH	External Audit plan on track. The New VFM standard under AGN03 issued in final form on 15 October 2020. which is a substantial change in approach to previous VFM testing. It is anticipated that this would need to be published at the same time as the annual report and accounts, further clarity will be included with AGN 07 'Auditor Reporting', which is expect to be issued shortly. A key change will be reported in the public domain.	All
Counter Fraud Progress Report	HIGH	Noted no ongoing cases. One referral being reviewed, which is unlikely to be a criminal case. Work taken place to develop a process to help with ensuring that Standard 1.4 is met.	All
Review of annual accounts and quality account timetable, progress and plans, IFRS 16 briefing and revaluation process for land	HIGH	The Committee were assured that the annual accounts planning process is on track and plans are in place for the successful submission of the accounts within key deadline dates.	All

Report	Assurance level	Committee escalation	ORR Risk
and buildings (Paper F)			
Clinical Audit Annual Review	MEDIUM	The report was discussed and the Committee asked for the report to include a section on Covid and that the governance route of being presented to QAC was followed before being presented back to the Committee. To be an agenda item at the March 2021 meeting.	40
Risk management update and ORR	HIGH	Monthly reviews of the ORR continue and the relevant cut of the ORR is now presented to all level 2 committees, who will provide assurance through the Highlight Report to the level 1 committees 120 people have been trained and more booked. Risks around the Covid Vaccine and the roll out are being identified.	40
Legal and Regulatory Issues	HIGH	The CQC registration of vaccine centres has commenced. The legal team has reviewed the new revised guidance issued from the chief coroner office relating to Regulation 28's. A learning lesson exchange established between the legal team, complaints and patient safety team. Governance arrangements for patient staff records - currently a dispute with the company C&V over decommission costs. Executive board appraised of progress and clear around the actions being taken and any risks and mitigations. Report will be presented to the FPC Committee if required.	All
Financial Waivers	HIGH	Committee noted the waivers.	All
AAC Mid-Year Review 2020/21	HIGH	The Committee approved the report.	All
LPT EA Fees	HIGH	Noted the fees for 21/22 will need to increase. Currently looking at 20/21 debits.	All
Freedom to Speak Up update	HIGH	The Committee were assured that the FTSU is embedded within the Trust.	All
Chairs of QAC/FPC Updates on Key Issues	HIGH	The FPC Chair confirmed that FPC has continued to meet and their TOR and work programme has been achieved. The Chair of QAC confirmed that the mid-year review has been completed and gave assurance that the committee has made good progress.	All
Deep Dive – Beacon Unit Review	HIGH	Overview of the report presented to the Committee and it was noted there are a number of areas of learning. Report to be received at SEB to get understanding of actions to be taken and what are the next steps.	All
AOB	HIGH	Noted the revised governance arrangements during the 2 nd wave of Covid were approved by SEB. The ICC will be single point of access. Arrangements to be reviewed end of January 2021.	

Chair	Darren Hickman
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