

Meeting Title	Board of Directors		
Date	9 January 2020	Agenda item	Bo.1.20.25

## Audit and Assurance Committee Annual Report 2018/19

Presented by	Barrie Senior, Audit and Assurance Committee Chair		
Author	Barrie Senior, Audit and Assurance Committee Chair and Jacqui Maurice, Head of Corporate Governance		
Lead Director	Chairman		
Purpose of the paper	This paper provides a summary of the work of the AAC during 2018/19		
Key control	N/A		
Action required	For approval		
Previously discussed at/ informed by	Audit and Assurance Committee held 3 December 2019		
Previously approved at:	Committee/Group	Date	
	Audit and Assurance Committee	3 December 2019	

### Key Options, Issues and Risks

The Board of Directors (the Board) reviews the performance of its Committees annually to determine if they have been effective, and whether further development work is required. One of the key elements to this review is the annual report provided by its Committees.

The period reported on is from April 2018 to May 2019.

The Audit and Assurance Committee terms of reference were revised and approved by the Board in March 2019.

The revised terms of reference of the Audit and Assurance Committee were approved by the Board in March 2019 and so did not impact upon the work of the Committee in 2018/19.

This annual report incorporates a summary of the activities of the Audit and Assurance Committee during and in respect of 2018/19. The work of the Committee in April and May of 2018 in respect of 2017/18 year end reporting was described in the Committee's 2017/18 Annual Report.

### Analysis

The Committee believes that during 2018/19 it took reasonable steps to perform its duties as delegated by the Board and specified in its then current terms of reference

### Recommendation

The Board of Directors should approve the Annual Reports of its Committees and make a recommendation for a process of self assessment during early 2020.

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Risk assessment						
Strategic Objective	Appetite (G)					
	Avoid	Minimal	Cautious	Open	Seek	Mature
To provide outstanding care for patients			g			
To deliver our financial plan and key performance targets			g			
To be in the top 20% of NHS employers					g	
To be a continually learning organisation				g		
To collaborate effectively with local and regional partners					g	
The level of risk against each objective should be indicated. Where more than one option is available the level of risk of each option against each element should be indicated by numbering each option and showing numbers in the boxes.	Low		Moderate	High	Significant	
	Risk (*)					
Explanation of variance from Board of Directors Agreed General risk appetite (G)						

Benchmarking implications (see section 4 for details)	Yes	No	N/A
Is there Model Hospital data relevant to the content of this paper?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is there any other national benchmarking data relevant to the content of this paper?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is the Trust an outlier (positive or negative) for any benchmarking data relevant to the content of this paper?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Risk Implications (see section 5 for details)	Yes	No
Corporate Risk register and/or Board Assurance Framework Amendments	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Quality implications	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Resource implications	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Legal/regulatory implications	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Diversity and Inclusion implications	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Performance Implications	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Regulation, Legislation and Compliance relevance
<b>NHS Improvement: (please tick those that are relevant)</b> <input checked="" type="checkbox"/> Risk Assessment Framework <input checked="" type="checkbox"/> Quality Governance Framework <input checked="" type="checkbox"/> Code of Governance <input checked="" type="checkbox"/> Annual Reporting Manual
<b>Care Quality Commission Domain: Well Led</b>
<b>Care Quality Commission Fundamental Standard: Good Governance</b>
<b>NHS Improvement Effective Use of Resources: Corporate Services, Procurement, Estates &amp; Facilities</b>
<b>Other (please state):</b>

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<b>Relevance to other Board of Director's Committee: (please select all that apply)</b>					
Workforce	Quality	Finance & Performance	Partnerships	Major Projects	Audit and Assurance Committee
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>