

<b>Meeting Title</b>	Board of Directors		
<b>Date</b>	18 March 2021	<b>Agenda item</b>	Bo.3.21.16b

## Audit and Assurance Committee Annual Report 2019/20

<b>Presented by</b>	Barrie Senior, Audit and Assurance Committee Chair		
<b>Author</b>	Barrie Senior, Audit and Assurance Committee Chair		
<b>Lead Director</b>	Matthew Horner, Director of Finance		
<b>Purpose of the paper</b>	This paper provides a summary of the work of the AAC during 2019/20		
<b>Key control</b>	N/A		
<b>Action required</b>	For assurance		
<b>Previously discussed at/ informed by</b>	Audit and Assurance Committee held 13 October 2020		
<b>Previously approved at:</b>	<b>Committee/Group</b>	<b>Date</b>	
	Audit and Assurance Committee	13 October 2020	

### 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 2019 to June 2020.

This annual report incorporates a summary of the activities of the Audit and Assurance Committee during and in respect of 2019/20. The work of the Committee in April and May of 2019, in respect of 2018/19 year end reporting, was described in the Committee's 2018/19 Annual Report.

The annual report was due to be presented to the Board of Directors in November 2020, but was omitted in error. It is therefore included on today's agenda for review.

### Analysis

The Committee believes that during 2019/20 it took reasonable steps to perform its duties as delegated by the Board and specified in its then current terms of reference.

The Committee's terms of reference will be reviewed in April 2021 to ensure alignment with the revised governance arrangements, and any proposed amendments will be presented to the Board in May 2021 for approval.

### Recommendation

The Board of Directors is asked to receive the Audit and Assurance Committee Annual Report 2019/20 as assurance that the Committee took reasonable steps to perform its duties as delegated by the Board and specified in its then current terms of reference.

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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)						

<b>Benchmarking implications (see section 4 for details)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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"/>

<b>Risk Implications (see section 5 for details)</b>	<b>Yes</b>	<b>No</b>
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"/>

<b>Regulation, Legislation and Compliance relevance</b>
<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: Finance</b>
<b>Other (please state):</b>

<b>Relevance to other Board of Director's Committee: (please select all that apply)</b>	
Regulation & Assurance Committee	Audit and Assurance Committee
<input type="checkbox"/>	<input type="checkbox"/>