

Trust Board

Report Cover Sheet

Agenda Item: 13






Date of Meeting:	Wednesday 29 th January 2020			
Report Title:	Summary of Assurances and Items for Escalation from Board Committees			
Purpose of Report:	To receive the assurance reports from the following meetings: <ul style="list-style-type: none"> • Finance and Performance Committee <ul style="list-style-type: none"> a. 26th November b. 17th December • Quality Governance Committee <ul style="list-style-type: none"> a. 18th December • Audit Committee <ul style="list-style-type: none"> a. 5th December • Human Resources Committee <ul style="list-style-type: none"> a. 10th December 			
	Decision: <input type="checkbox"/>	Discussion: <input type="checkbox"/>	Assurance: <input checked="" type="checkbox"/>	Information: <input type="checkbox"/>
Trust Goals that the report relates to: (Including reference to any specific risk)				
Recommendations: (Action required by Board of Directors)	To receive the reports for assurance.			
Financial Implications:				
Risk Management Implications:				
Human Resource Implications:				
Equality and Diversity Implications:				
Author:				
Presented by:				





ASSURANCE REPORT

Finance and Performance Committee – 26th November 2019




The Finance and Performance Committee has fulfilled its role and functions as defined within its terms of reference.

The reports received by the Finance and Performance Committee and level of assurance are set out below.

ISSUES TO BE RAISED TO BOARD	ASSURANCE LEVEL	COMMITTEE UPDATE	NEXT ACTION	TIMESCALE
Financial Performance – Finance & Activity Report		Year to Date: The Committee received and discussed the Month 7 Finance and Activity report which shows the Trust on plan. The Committee noted, however, the inherent pressures within the position and felt it appropriate to change the assurance level to red.		Monthly review of progress through the Committee
		Forecast: Risks remain around achievement of full year forecast.		Monthly review of progress through the Committee
		Income and Activity Report: The Committee received an update on the current financial and chargeable activity performance as at month 6.		
Financial Performance – Finance & Sustainability Programme		Year to Date: The Committee received and discussed the month 7 Finance and Sustainability Programme report, which shows performance on plan.		Monthly review of progress through the Committee
		Forecast: Risks remain around achievement of full year CRP plans.	Ongoing work with Business Units to establish more areas for recurrent savings	Monthly review of progress through the Committee

ISSUES TO BE RAISED TO BOARD	ASSURANCE LEVEL	COMMITTEE UPDATE	NEXT ACTION	TIMESCALE
Performance report – NHSI Governance Rating Impact		<p>Year to Date:</p> <p>The Committee received and discussed month 7 Performance Report.</p> <p>The Committee noted that the A&E targets were not met though the Trust continues to benchmark well nationally.</p>	Action plan in place to recover A&E performance	Monthly review of progress through the Committee
A&E Performance Update		The Committee received a comprehensive update.		Reviewed monthly in the progress report
Board Assurance Framework (BAF)		The Committee noted that work is ongoing to update the BAF for 2019/20.		
Counter Fraud Bribery and Corruption Policy Review		The Committee reviewed and agreed the policy after some minor changes.		
Transformation Programme		The Committee received an update on the ongoing Transformation work noting that good progress had been made.		

Assurance Key






	Level of Assurance
	Assured – there are no gaps in assurance
	Partially assured – there are gaps in assurance but we are assured appropriate action plans are in place to address these
	Not assured – there are significant gaps in assurance and we are not assured as to the adequacy of current action plans




ASSURANCE REPORT

Finance and Performance Committee – 17th December 2019




The Finance and Performance Committee has fulfilled its role and functions as defined within its terms of reference.

The reports received by the Finance and Performance Committee and level of assurance are set out below.

ISSUES TO BE RAISED TO BOARD	ASSURANCE LEVEL	COMMITTEE UPDATE	NEXT ACTION	TIMESCALE
Financial Performance – Finance & Activity Report		Year to Date: The Committee received a verbal update on the month 8 Finance and Activity report which shows the Trust on plan.		Monthly review of progress through the Committee
		Forecast: Risks remain around achievement of full year forecast.		Monthly review of progress through the Committee
Financial Performance – Finance & Sustainability Programme		Year to Date: The Committee received and discussed the month 8 Finance and Sustainability Programme report, which shows performance on plan.		Monthly review of progress through the Committee
		Forecast: Risks remain around achievement of full year CRP plans.	Ongoing work with Business Units to establish more areas for recurrent savings	Monthly review of progress through the Committee
Performance report – NHSI Governance Rating Impact		Year to Date: The Committee received a written report relating to A&E Performance and a verbal update on the month 8 Performance Report. The Committee noted that the A&E targets were not met though the Trust continues to benchmark well nationally.	Action plan in place to recover A&E performance	Monthly review of progress through the Committee

ISSUES TO BE RAISED TO BOARD	ASSURANCE LEVEL	COMMITTEE UPDATE	NEXT ACTION	TIMESCALE
Dunston Hill Hospital		The Committee were informed of an offer for the Dunston Hill site by Storey Builders and agreed to the offer pending Board approval.	Email to Board for approval	
Mental Health Business Case Review		The Committee received a comprehensive update noting that there are still issues with the Sunnyside Unit which are being monitored through the Quality Governance Committee.	The Committee agreed for the Business Case Review to be picked up through the Transformation Board going forward.	
Transformation Programme Finance Summary		The Committee received the summary that has been shared with NHSI on the Transformation Programme Finance.		
Board Assurance Framework (BAF)		The Committee noted that work is ongoing to update the BAF for 2019/20.		

Assurance Key










	Level of Assurance
	Assured – there are no gaps in assurance
	Partially assured – there are gaps in assurance but we are assured appropriate action plans are in place to address these
	Not assured – there are significant gaps in assurance and we are not assured as to the adequacy of current action plans

ASSURANCE REPORT




Quality Governance Committee – 18 December 2019

The Quality Governance Committee has fulfilled its role and functions as defined within its terms of reference.

The reports received by the Quality Governance Committee and level of assurance are set out below.

ISSUES TO BE RAISED TO BOARD	ASSURANCE LEVEL	COMMITTEE UPDATE	NEXT ACTION	TIMESCALE
Board Assurance Framework		The Committee agreed all assurance levels would remain amber.		
Integrated Quality and Learning Report		The Committee received good assurance for this report noting the gaps in the complaint process.		
Urgent and Emergency Care Survey		Good assurance received and noted there is a robust action plan in place.		
Serious Incident Performance Report		The Committee received good assurance for this report noting the extensive work which had already taken place around the action plan.		
Family Liaison Officer Update		Good assurance received. The Committee noted the excellent progress made with the adoption of FLOs and the benefits this has on patient families/ carers.		
Freedom to Speak Up Guardian Report		Good assurance received. Further work on new guidance received in 2019 required.		
Mental Health Compliance Group Update		Good assurance received. The Committee noted that this meeting was not always represented by all Business Units.		
CQC Older Person MH Assurance Report		Good assurance received. The Committee noted that going forward report would be change to provide less information and more assurance.		
Internal Audit Report – Medical Devices		No assurance received due to gaps in training. Urgent actions are being taken to ensure a robust policy is in place.		

Assurance Key







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	Not assured – there are significant gaps in assurance and we are not assured as to the adequacy of current action plans


ASSURANCE REPORT

Relates to business of 05 December 2019 Audit Committee Meeting




The Audit Committee has fulfilled its role and functions as defined within its terms of reference.

The issues to be raised to the Board are set out below

ISSUES TO BE RAISED TO BOARD	ASSURANCE LEVEL	COMMITTEE UPDATE	NEXT ACTION	TIMESCALE
Losses and Special Payments Register		The Committee received and approved the Losses and Special Payments Register.		
IFRS 16		The Committee received an update on the ongoing work and were assured that the programme is progressing although there remain a number of issues to be resolved		
Counter Fraud Progress Report		The Committee received a detailed and comprehensive report from Counter Fraud.	Mr S Veitch will feed back to Counter Fraud discussion had with regards to the reports.	
Charitable Funds Audit Conclusion		The Committee received a comprehensive update on the audit of the Charitable Fund for year ended 31 March 2019.		
Internal Audit Gateshead Health Group Progress Report		The Committee received a positive group progress report and the clearance of outstanding recommendations. The Committee raised ongoing concerns regarding deferral of due dates regarding some complex recommendations.	AuditOne will consider how to present complex recommendations and discuss Director of Finance and Audit Chair.	
External Audit Audit Results Report QE Facilities		The Committee received assurance noting that whilst actions had moved on since the report was published, one issue regarding deferred taxation remained to be fully resolved		

ISSUES TO BE RAISED TO BOARD	ASSURANCE LEVEL	COMMITTEE UPDATE	NEXT ACTION	TIMESCALE
Quality Assurance		The Committee received a detailed and positive update.		6 monthly update
Board Assurance Framework				
Risk Register		The Committee received a detailed update and accepted the report. It was noted that excellent progress has been made.		

Assurance Key






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	Partially assured – there are gaps in assurance but we are assured appropriate action plans are in place to address these
	Not assured – there are significant gaps in assurance and we are not assured as to the adequacy of current action plans



ASSURANCE REPORT

Human Resources Committee – 10 December 2019




The Human Resources Committee has fulfilled its role and functions as defined within its terms of reference.

The reports received by the Human Resources Committee and level of assurance are set out below.

ISSUES TO BE RAISED TO BOARD	ASSURANCE LEVEL	COMMITTEE UPDATE	NEXT ACTION	TIMESCALE
Executive Walkabouts		The Committee received a report that outlined the Executive walkabouts that had taken place in 2019 however noted a high level of cancellations.	Discussion at CMT as to how they dovetail with Time to Talk sessions, and themes are captured and acted upon.	2019/20, Q4
HR Policies: • Car Parking Management • Investigation & Disciplinary • Submission of Staff Expenses		The policies were approved.	Policies to be launched within the organisation.	Jan-2020
Local Clinical Excellence Awards Annual Report		The Committee received the report which demonstrates a robust process with no appeals in the last 3 years. The equality analysis demonstrated an increase in both female and part-time workers.	Launch 2020 process.	Apr-2020
People Strategy Deep Dive – Recruitment & Retention		The Committee received healthy assurance that delivery of this strand of the People Strategy was on track with the majority of actions achieved in the 3-year plan. This included the national recognition for the Gateshead Guardians scheme which was publicised by NHS Improvement.	Complete delivery of work plan as per timescales.	2019/20
Workforce Metrics		The Committee, and in particular the Non-Executive Directors and Governors received specific updates from each Business Unit/Directorate on their actions to improve appraisal compliance. It was confirmed that whilst there	Increase in appraisal completions expected.	31-Mar-20

ISSUES TO BE RAISED TO BOARD	ASSURANCE LEVEL	COMMITTEE UPDATE	NEXT ACTION	TIMESCALE
		may be a small number of recording issues and use of ESR, the main factor was service pressures. The Committee also received and discussed the QE Facilities workforce metrics for the first time.		
Guardian of Safe Working Report (Q2)		The Committee received the report which did not highlight any concerns or issues.	None.	
Temporary Agency Medical Staff Audit		The Committee discussed the internal audit report which focussed on the use of agency medical staff within Medicine Business Unit and gave reasonable assurance due to evidence not being available that the agency workers processes were followed.	Increased communication of the Agency Worker process and specific actions within Medicine.	Dec-19

Assurance Key

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	Not assured – there are significant gaps in assurance and we are not assured as to the adequacy of current action plans