

## TRUST BOARD

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|----------|---|
| Title:   | <b>Audit Committee: Key Issues Report</b> |
| Action:  | <b>FOR DISCUSSION/ NOTING</b>             |
| Meeting: | <b>14 March 2018</b>                      |

### Purpose:

In line with the Trust's delegation framework this paper updates the Board on key messages from the Audit Committee and any points of escalation.

This paper relates specifically to from the Audit Committee meeting held on 08 January 2018.

### Recommendation:

The Board is asked to note the update from the Audit Committee and discuss any issues arising.

|                    | Name         | Title                                      |
|--------------------|--------------|--|
| Author:            | Taff Gidi    | Assistant Director of Corporate Governance |
| Executive Sponsor: | Mark Robbins | Director of Finance & Resources            |

## Trust Objectives

| Objective                            | How the report supports achievement of the Trust objectives:  |
|--------------------------------------|---|
| Provide outstanding care             | The audit committee is responsible for ensuring that the Trust has adequate systems of control in place to deliver the Trust's objectives and ensure the Board receives sufficient assurance of this. |
| Collaborate with other organisations |   |
| Be an excellent employer             |   |
| Be a sustainable organisation        |   |

## Trust risk register

N/A

## Legal and Regulatory requirements:

This Committee operates in line with corporate governance best practice, referring to guidance documents such as the UK Corporate Governance Code and Charities Act 2011.

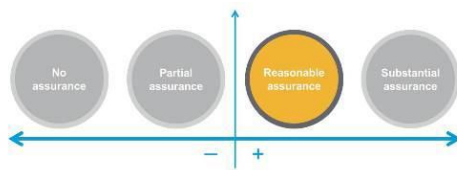
## Equality and Diversity implications:

This report does not include any specific Equality and Diversity implications.

| Objective   | How the report supports achievement of objectives: |                          |                                |                          |                          |                          |                          |                          |
|---|--|--------------------------|--------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Achieve an improvement in the percentage of service users who report that they are able to access the Trust services that they require  | Not applicable                                     |                          |                                |                          |                          |                          |                          |                          |
| Enhance our approach to involving and capturing the experience of hard to reach / seldom heard / varied community groups  | Not applicable                                     |                          |                                |                          |                          |                          |                          |                          |
| Using the national 'A Call to Action on Bullying and Aggression', internally take action to promote our Zero tolerance policy and address bullying and aggression when it occurs.   | Not applicable                                     |                          |                                |                          |                          |                          |                          |                          |
| Ensure that the Workforce Race Equality Standard is embedded and undertake proactive work around any areas of under-representation identified. In particular, we will seek innovative methods to have co-opted representation on the Trust Board from more diverse backgrounds. | Not applicable                                     |                          |                                |                          |                          |                          |                          |                          |
| Are any of the following protected characteristics impacted by items covered in the paper   |  |                          |                                |                          |                          |                          |                          |                          |
| Age   | Disability   | Gender Reassignment      | Marriage and Civil Partnership | Pregnancy and Maternity  | Race                     | Religion and Belief      | Sex                      | Sexual Orientation       |
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## Key Messages for the Board:

- The following issues were covered at the last meeting:
  - Local Counter Fraud Services
  - Internal Audit Progress Report and Follow Up Report
  - External Audit Plan 2017/18
  - Waivers and Special Payments
  - Managing Internal Audit Procedure
  - Annual Review of all current risks including the draft refreshed Board Assurance Framework
  - Quality Assurance Update including Clinical Audit progress update
  - Annual Review of Committee Effectiveness including a review of the terms of reference and cycle of business
- The review of Contract Management – Services to Support Clinical Delivery had now been completed as outlined below.



- The bi-annual review of all risks had demonstrated continued good work on risk management across the Trust. There was more improvement work to be done on training and awareness and to improve the quality of risks, particularly those that do not meet the threshold for reporting to the Board and its subcommittees.
- The committee received an update on follow-up actions. The committee was concerned that the report reflected a downward trend in the implementation of internal audit recommendations which needed to be addressed. At the time of the meeting, management had highlighted that there were a number of actions in the report where progress updates had been provided, but the report did not reflect those updates.

**Update:** Since the meeting, the management team have worked with the Internal Auditors to ensure that the follow-up report is updated to reflect the latest position. The updated report will be presented to the Audit Committee in April 2018. The Chair of the Audit Committee has been briefed outside the meeting.

## Issues for Escalation

There were no points for escalation to the Trust Board in line with the escalation framework.