

BOARD OF DIRECTORS MEETING

Agenda Item	P1/018/19	Date: 30th January 2019
Subject /title	Assurance Report of the Chair of the Audit Committee for the period ending December 2018	
Executive Overview		
<p>This Chairs Report provides the assurance to the Trust Board on the business of the Audit Committee at its meeting held on 21 January 2019. The next quarterly Governance & Compliance sub-committee is scheduled for February so no detail was provided from that committee to the Audit Committee for this latest period.</p>		
<u>Successful Outcomes and Assurances</u>		
<p>Following the internal audit review of Complaints, assurance was provided that significant work had been completed on the management response actions. Further assurance was provided that as part of the revisions to process, consideration and responses to all complaints will be led by the appropriate directorates.</p>		
<p>The Anti-Fraud update provided assurance of very low instances compared to other Trusts.</p>		
<p>The Committee welcomed the overall review of Governance led by the new Associate Director of Corporate Governance, the outcome of which will also provide clarity on the information presented and business cycle for each Committee. This will include a clear Audit Committee plan of business, including clinical audit activity.</p>		
<p>The new Finance system will be implemented shortly and the Committee were assured that audits have been prepared to review the data pre and post implementation to ensure accuracy.</p>		
<p>For 2019/20 External Audit advised of some changes to Accounting Standards. The impact of the changes for the Trust will be presented to the March Committee.</p>		
<u>Areas of Concern & Assurances on Mitigation</u>		
<p>The Committee agreed that further work was required on the Audit Tracker to ensure it is fit for purpose. A number of actions were reported as overdue and assurance was sought on the effectiveness of the tool in its current draft. The Committee requested for a revised tracker, with the supporting process, to be presented to the next Audit Committee.</p>		
<p>Assurance was sought on the supporting systems and processes in the management of the corporate risk register to establish whether it was currently an effective tool. Concern was raised around the number of risks rated high which was explained as due to a change in process, providing senior managers within the organisation to raise risks, without Executive clearance. The format, scope and content of future reports will be reviewed as part of the governance review, led by the Associate Director of Corporate Governance and an update provided to the Committee in due course.</p>		
Link to CQC Regulations		
Domains, Safe, Effective, Responsive, Caring, Well-led		
<u>Resource Implications</u>		
These are confirmed in the Sub-committee reports to the FBD Committee.		
<u>Key communication points (internal and external)</u>		

Freedom of Information Status									
<p>FOI exemptions must be applied to specific information within documents, rather than documents as a whole. Only if the redaction renders the rest of the document non-sensical should the document itself be redacted.</p> <p>Application Exemptions:</p> <ul style="list-style-type: none"> • Prejudice to effective conduct of public affairs • Personal Information • Info provided in confidence • Commercial interests • Info intended for future publication 	<p>Please tick the appropriate box below:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%; text-align: center;"><input checked="" type="checkbox"/></td> <td>A. This document is for full publication</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>B. This document includes FOI exempt information</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>C. This whole document is exempt under FOI</td> </tr> </table> <p>IMPORTANT: If you have chosen B above, highlight the information that is to be redacted within the document, for subsequent removal.</p> <p>Confirm to the Trust Secretary, which applicable exemption(s) apply to the whole document or highlighted sections.</p>			<input checked="" type="checkbox"/>	A. This document is for full publication	<input type="checkbox"/>	B. This document includes FOI exempt information	<input type="checkbox"/>	C. This whole document is exempt under FOI
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Equality & Diversity impact assessment									
Are there concerns that the policy/service could have an adverse impact because of:	Yes	No							
Age		x							
Disability		x							
Sex (gender)		x							
Race		x							
Sexual Orientation		x							
Gender reassignment		x							
Religion / Belief		xx							
Pregnancy and maternity									
<p>If YES to one or more of the above please add further detail within an appendix and identify if full impact assessment is required.</p>									
Appendices									
Strategic Objectives supported by this report									
Improving Quality	x	Maintaining financial sustainability	x						
Transforming how cancer care is provided across the Network		Continuous improvement and innovation							
Research		Generating Intelligence							
Link to the NHS Constitution									
Patients		Staff							
Access to health care		<i>Working environment</i> Flexible opportunities, healthy and safe working conditions, staff support	x						
Quality of care and environment		<i>Being heard:</i> <ul style="list-style-type: none"> • Involved and represented • Able to raise grievances • Able to make suggestions • Able to raise concerns and complaints 							
Nationally approved treatments, drugs and programmes									
Respect, consent and confidentiality									
Informed choice		Fair pay and contracts, clear roles and responsibilities							
Involvement in your healthcare and in the NHS	x	Personal and professional development							
Complaint and redress		Treated fairly and equally							