

## Whittington Health Audit Committee Action Notes

This paper tracks progress on actions from previous meetings of the Audit Committee (AC) and summarises the key decisions and actions arising from the last 15<sup>th</sup> September 2011

**All actions up to November 2010 complete. Update on outstanding actions from the Audit Committee meetings January 2011 to July 2011**

Ref*	Action	Progress/Update September 2011
1101.4	Mandatory training: timetable for electronic roll-out <b>Margaret Boltwood</b>	E-learning for junior doctors to be launched in December 2011. PC to produce a paper re: launch delay and roll-out to all areas.
1105.4	Take-up rates for Mandatory Training: <b>Paul Campbell</b>	Paul Campbell to inform David Williams of rates required for FT Status and report back to AC in December re: 85% compliance rate.
1105.6	Report from Quality Committee to provide assurance that the new committee architecture is compliant with Monitor's requirements <b>Bronagh Scott</b>	First report from Quality Committee to Audit Committee
1105.9	BAF to be developed for ICO once corporate objectives agreed <b>Bronagh Scott</b>	Working session to further develop the latest BAF scheduled for immediately after this meeting.
1106.2	Design training programme on trust accounts for NEDs <b>Richard Martin</b>	Two HFMA recent publications to be circulated at Trust Board. Date for training session to be fixed asap.
1106.3	Internal Audit to provide proposal on what evidence needs to be provided to Monitor on quality impact of CIPs <b>Parkhill</b>	Urgently before December Audit Committee.
1107.1	Re Risk Management Strategy. Update for ICO to be circulated and Internal Audit to review at an early stage. <b>David Williams</b>	Review the section on reputational risk for next iteration. David Williams had emailed Marisha Ray to begin writing an update which would be available in first draft mid-October.
1107.4	Sort out process for implementing actions arising from AC including executive member attendance and provision of written responses <b>Audit Committee/Richard Martin</b>	Senior Executive to co-ordinate actions ( <i>to be discussed at afternoon session September 2011</i> )
1107.5	Design template for Executive Summary of Board and committee papers so as to prompt the author to consider Monitor compliance <b>David Williams</b>	David Williams to discuss with Bronagh Scott & make a proposal to The Trust Board.

Ref*	Action	Progress/Update July 2011
1107.6	Construct spreadsheet identifying Monitor requirements and sources of self-certification <b>David Williams</b>	David Williams to produce for December Audit Committee
1107.8	Review arrangements and committee modus operandi to check they meet Monitor requirements	<b>Bronagh Scott, Richard Martin, Peter Freedman &amp; Sue Rubenstein</b> to review for December Audit Committee
1107.14	Assess the impact of transitional pressures on the ability of the executive team to meet deadlines and set delivery performance objectives <b>David Williams/Bronagh Scott</b>	Now the part of overall Risk Management process.
1107.19	Clinical Assurance and Governance Board (CAGB): NEDs to be briefed on how key clinical quality metrics are calculated, e.g. Standardised Hospital Mortality Rates <b>Fiona Smith</b>	Fiona Smith to action by end of 2011.

### Actions arising from Audit Committee on 15<sup>th</sup> September 2011

Ref*:	Decision/Action	Timescale	Lead and support
<b>External Audit Progress Report (Doc 3)</b>			
1109.01	External Audit to provide date for the guide for CIP to be published.	Asap	<b>Andrea White</b>
<b>External Audit Annual Audit Letter (Doc 4)</b>			
1109.02	RM to obtain in writing the unqualified report for the Community Services and/or any issues to be aware of as in the Annual Governance Report	December 2011	<b>Richard Martin</b>
<b>Internal Audit Progress Report (Doc 5)</b>			
1109.03	Discuss proposed IT Audit requirements with Glenn Winteringham to determine potential added value of including within 11/12 Audit Plan	December 2011	<b>Peter Freedman/Glenn Winteringham</b>
1109.04	Internal Audit to circulate asap the Terms of Reference for the planned review of CIPs	Asap	<b>Max Lai</b>
<b>Hospitality Policy (Doc 7)</b>			
1109.05	Update the policy for £20 gifts threshold.	October 2011	<b>Paul Campbell</b>
<b>Fraud Policy &amp; Response Plan (Doc 8)</b>			
1109.06	Robert Aitken to give his detailed comments on the Plan to Nigel Sedgwick	Asap	<b>Robert Aitken</b>
<b>Whittington Health Children's Services Media Plan (Doc 10)</b>			

1109.07	Sue Rubinstein requested a paper that outlined the process to go through to anticipate situations that could be a risk to reputation.		<b>David Williams</b>
<b>IT Disaster Recovery Plan 2011-12 (Doc 11)</b>			
1109.08	David Williams was actioned to work with Glenn Winteringham on an IT risk register.	November 2011	<b>David Williams/Glenn Winteringham</b>
<b>Investment approval process – Revenue Expenditure(Doc 12)</b>			
1109.09	Copy of template to be sent to David Williams	Asap	<b>Richard Martin</b>
<b>Recommended Bad Debt Write off (Doc 13)</b>			
1109.10	Each bad debt report to include a note of cumulative year to date write-offs, with comparison to prior year	Next bad debt report to the Audit Committee	<b>Richard Martin</b>
<b>Tender Waiver Report (Doc 14)</b>			
1109.11	Phil lent be informed that competitive quotes must be obtained.	Asap	<b>Richard Martin</b>
<b>Terms of Reference (Doc 15)</b>			
1109.12	David Williams to provide amended wording to 3.1.2	Asap	<b>David Williams</b>
<b>Risk Register (presentation)</b>			
1109.13	Single Risk Register to be available by mid-October and corporate risks circulated to Audit Committee members with commentary.	Mid-October 2011	<b>David Williams</b>

\*The unique reference number indicates the year and then the month of the action being raised followed by a sequential number relating to that month.