

**Trust Board Meeting**ITEM: 22  
DOC: 19DATE: 28<sup>th</sup> March 2012

TITLE: Report from the Audit &amp; Risk Committee

SPONSOR: Peter Freedman, Chair of the  
Audit & Risk CommitteeREPORT FROM: Richard Martin, Director  
of Finance

**PURPOSE OF REPORT:** To provide the Board with additional assurance on the Trust's risk management systems and internal controls, based on the work of the Committee at its most recent (March 7) meeting.

**EXECUTIVE SUMMARY:**

The Committee met for a full day on March 7, during which it:

- Conducted **deep dives into 3 selected risks on the Board Assurance Framework** – (1) the quality impact of current and future CIPs; (2) workforce engagement; and (3) the quality of Board information. During these reviews, the Committee gained assurance on the validity of the current BAF, while making a number of specific suggestions for improvement. In particular, it recommended additional controls on workforce engagement (development of a more integrated Workforce Engagement Plan) and information quality (development of more comprehensive information policies, including clearer accountabilities for information quality). At future meetings, the Committee will conduct deep dives into other selected risks on the BAF.
- Reviewed the **proposed Internal Audit plan for 2012/13** and made some suggestions to better align this plan with the key risks in the BAF.
- Welcomed a presentation, for information, from the Chief Executive on **executive governance structures**. This set out the proposed roles of committees reporting to the Trust Executive Committee, including those dealing with the management of CIP and QIPP.
- Heard **interim progress reports from both External Audit and Internal Audit (IA)**. In the main, audits to date have provided substantial assurance on the Trusts internal controls. However, the Committee noted some concerns on the management of records relating to staff transfers and reviewed the proposed corrective actions.
- Approved a number of **tender waivers and bad debt write-offs**, both of which were in normal range. Following concerns raised at a previous meeting, the Committee also gained additional assurance on the internal processes used to scrutinize procurement tender waivers.
- Reviewed a report on **Information Governance**, which explained why the Trust is likely to be rated 'not satisfactory' for 2011/12 against the criteria in the Information Governance Toolkit. The Committee also discussed corrective actions.
- Discussed a report on compliance with **Mandatory Training**. This suggested that performance is improving, though it remains unclear whether the Trust will reach the 75% target by March 31, 2012.



**PROPOSED ACTION:** To note

**APPENDICES:**

Appendix A – Approved Minutes from previous meeting (from 11<sup>th</sup> January, 2012)

**DECLARATION**

In completing this report, I confirm that the implications associated with the proposed action shown above have been considered – any exceptions are reported in the Supporting Information:

Implications for the NHS Constitution, CQC registration

Financial, regulatory and legal implications of proposed action

Risk management, Annual Plan/IBP

Moving Ahead – how does this report support any of the Trust's 5 Strategic Goals