

## BOARD OF DIRECTORS MEETING (Open)

Date: 13 September 2017

Item Ref: 16ciii

<b>TITLE OF PAPER</b>	Annual Letter to All Staff From Chair of Audit Committee
<b>TO BE PRESENTED BY</b>	Ann Stanley, Non-Executive Director – Chair, Audit Committee
<b>ACTION REQUIRED</b>	For the Board to receive and approve the annual letter for issue.
<b>OUTCOME</b>	Approval by the Board prior to issue to all staff.
<b>TIMETABLE FOR DECISION</b>	September meeting.
<b>LINKS TO OTHER KEY REPORTS / DECISIONS</b>	None highlighted.
<b>LINKS TO OTHER RELEVANT FRAMEWORKS BAF, RISK, OUTCOMES</b>	-
<b>IMPLICATIONS FOR SERVICE DELIVERY AND FINANCIAL IMPACT</b>	Nil
<b>CONSIDERATION OF LEGAL ISSUES</b>	None highlighted.

<b>Presented by</b>	Ann Stanley
<b>Designation</b>	Non-Executive Director – Chair, Audit Committee
<b>Date of Report</b>	September 2017



**SUMMARY REPORT**

**Report to: Board of Directors**

Open BoD 13.9.17 Item 16ciii
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**Date: 13 September 2017**

**Subject: Annual Letter to All Staff from Chair of Audit Committee**

**From: Ann Stanley, Non-Executive Director – Chair, Audit Committee**

**1 Purpose**

<i>For Approval</i>	<i>For a collective decision</i>	<i>To report progress</i>	<i>To seek input from</i>	<i>For information</i>	<i>Other (please state below)</i>
X					
Agreement to content of letter.					

**2 Summary**

The Chair of the Audit Committee issues an annual letter to all staff to remind them of their responsibilities regarding governance within the Trust.

The draft letter was considered at the Audit Committee in July and the final version is appended for approval by the Board of Directors for issue to all staff.

The letter is issued via the Trust’s e-mail network and will also be available on the Trust’s intranet site and web noticeboard.

**3 Next Steps**

Letter to be issued following approval at the Board of Directors’ meeting.

**4 Required Actions**

Approval by the Board of Directors.

**5 Monitoring Arrangements**

N/A

**6 Contact Details**

For further information, please contact:

Ann Stanley  
Non-Executive Director  
Chair – Audit Committee

FOR APPROVAL



**Sheffield Health  
and Social Care**  
NHS Foundation Trust

Chairwoman – Jayne Brown  
Chief Executive – Kevan Taylor

Please ask for: Ann Stanley  
Our Ref: AS/jch

**Trust Headquarters**

Fulwood House  
Old Fulwood Road  
Sheffield  
S10 3TH

Tel: 0114 2716716  
Fax: 0114 2716714

September 2017

**By E-mail**

All Staff Members,  
Sheffield Health & Social Care NHS Foundation Trust.

Dear Colleague,

Each year, as part of the process of ensuring we are controlling Trust resources, the Chair of the Audit Committee writes out to all staff to remind you of our responsibilities in relation to this.

In order to ensure there is appropriate governance within Sheffield Health & Social Care NHS Foundation Trust, it is a requirement of the Board to follow the values contained within the Code of Conduct for NHS Boards. There are four crucial public service values which underpin the work undertaken by Trust employees, namely:-

- Accountability – everything we do in our daily NHS working lives must be able to stand the test of outside scrutiny and judgement.
- Probity – there should be an absolute standard of honesty in dealing with the assets of the Trust. Integrity should also be the hallmark of all personal conduct in decisions affecting our clients, staff and suppliers. Furthermore, this also applies in the use of information gained in the course of the working day.
- Openness – there should be transparency about the activities we undertake, which promotes confidence between Sheffield Health & Social Care NHS FT, the staff, service users and the public.
- Confidentiality – as an employee there will be occasions when you will have access to information which should only be disclosed to others who have a right to know. You must regard all such information as belonging to the Trust, other Health or Social Care Organisations, other employees or service users. **If in doubt you should seek advice from your line manager, professional lead, the Information & Communication Technology (ICT) Department or your Trade Union.** Further detail can be found in the Trust's Confidentiality Policy available on the Trust website.

The above four core values ensure that the financial duties of the Trust are correctly managed, properly structured and monitored.

As part of the governance process, the Audit Committee, which is a sub-committee of the Board, regularly meets to review the financial and governance dealings of the organisation and receives appropriate reports to assure them of the embeddedness of the above values. A list of the members and officers of this committee, which includes Directors of the Trust, together with senior staff from the External Audit, Internal Audit and Counter Fraud Services, is given at the end of this letter.

As part of its remit, the Audit Committee produces an Annual Report outlining the work it has undertaken during the year to give the necessary assurances to the Board of Directors that it is meeting its terms of reference. It is anticipated that this report will be available on the Trust's intranet following approval at the Board of Directors' Meeting on the 13<sup>th</sup> September.

### Fraud

All staff should be aware that the Trust has a Counter Fraud, Bribery & Corruption Policy and is committed to the elimination of NHS fraud and corruption. The Local Counter Fraud Specialist, Robert Purseglove, undertakes a range of activities to counter fraud within the Trust that are overseen by the Audit Committee. Free counter fraud training is available to all staff and Robert can be contacted directly to arrange this.

Where fraud is identified or suspected within the Trust it is formally investigated and we ensure that wrongdoers are appropriately dealt with and steps are taken to recover any financial loss. Any member of staff who suspects or has evidence of fraudulent activity within the Trust may contact Robert Purseglove directly for advice and can contact any member of the Committee in confidence should they feel the Trust has failed to deal with the matter appropriately.

### Internet Use

As part of the drive to modernise the NHS, the use of computers, access to the internet and the local networks is now established as routine. With this in mind it is important to be reminded that internet use is monitored regularly for inappropriate or excessive personal use. Included on the ICT page on the intranet is the "Internet Use Policy and Declaration" and staff who use the internet must be aware of its contents.

### Private Use of Trust Equipment

The use of Trust equipment for private use by staff should be avoided, but if it is deemed unavoidable, the permission of the appropriate line manager should be sought. This includes the use of Trust mobile telephones.

### Declaration of Interests & Standards of Business Conduct

The Trust reviewed and updated its policy on the Declaration of Interests and Standards of Business Conduct and the revised policy is available on the Trust's intranet and external website through the following link:

[Declaration of Interests & Standards of Business Conduct Policy \(Intranet\)](#)

[Declaration of Interests & Standards of Business Conduct Policy \(Internet\)](#)

It is important that staff are aware of their responsibilities in this area. The policy describes the approach taken by SHSC NHS FT to ensure that employees are aware of their responsibilities and are aware of the standards the Trust expects in relation to business conduct. This policy covers potential conflict of interest, ethical standards, hospitality, gifts, research and commercial

sponsorship. It also provides guidance to staff on declaring outside/secondary employment and private/business interests.

It is the responsibility of all staff to ensure that they are not placed in a position which risks, or appears to risk conflict between private interests and their duties as an employee of the Trust.

It is now a requirement for certain staff groups to complete an annual declaration. These include:

- Doctors;
- Pharmacists;
- ICT Staff;
- Contracting Staff;
- Purchasing Staff;
- Estates Staff;
- Directors;
- All Senior Managers (Band 8a or above)

If any staff member believes they have a conflict of interests with the business dealings of the Trust, e.g. a partner or relative has financial dealings with the Trust, it is important that this is declared in the Register of Interests.

Personal gifts must not be accepted from commercial sources (other than inexpensive items, for example calendars, pens and diaries). Any gift which may be thought likely to influence a purchasing decision should be firmly and politely declined and should be brought to the attention of senior management.

It is not possible to be prescriptive about every type of circumstance in which a gift is offered and the over-riding principle when offered a gift should be to exercise judgement and good common sense. The Declaration of Interests policy provides further guidance in this area and, if in any doubt, staff should speak with their line manager.

As with gifts, it is important to exercise judgement and good common sense when offered hospitality. The policy provides guidance to staff on this matter and as a general rule, in all cases of doubt staff should seek advice from the Board Secretary and their Director in order to protect employees from potential challenge.

Without causing offence, employees should discourage service users or other organisations from offering gifts.

Further guidance in this area is provided in the policy.

If staff are in any doubt, they should seek the advice of their line manager.

### Whistleblowing

The Public Interest Disclosure Act aims to encourage a climate of openness in the workplace and create a positive environment in which workers can raise their concerns without fear of reprisal. It does this by giving legal protection to those who make certain types of "disclosures".

All staff should also be aware of the Trust's Whistleblowing Policy.

***‘Whistleblowing’ is when someone, for example, exposes alleged dishonest or illegal activity occurring in an organisation such as; fraud, risks to patient safety, or corruption. We do, of course have a range of ways that any such concerns should be raised and considered. The law ensures detrimental action will not be taken by managers or other members of staff against Whistleblowers who raise concerns, which in their ‘reasonable belief’ are ‘in the public interest’. To do so, may itself lead to disciplinary action.’***

If you have any queries please refer to a line manager in the first instance who will then contact one of our HR Advisers.

The policy is available on the Trust’s intranet and internet via the links below and allows staff to confidentially identify areas where they believe there are major problems of poor practice, fraud and other inappropriate use of resources or behaviours. This includes issues where staff members believe they have witnessed or are made aware of potential client abuse. The Safeguarding page on the SHSC intranet provides instruction and details of who to contact in such instances. The Trust also has a separate Board sub-committee, the Quality Assurance Committee, which deals with such issues.

[Whistleblowing Policy \(Internet\)](#)

[Whistleblowing Policy \(Intranet\)](#)

It is accepted that the majority of the Trust’s employees will never have to resort to these mechanisms, however, the Board believes that the core values and key Trust policies outlined above should be brought to the attention of all our staff.

Yours faithfully,

*Ann Stanley*

Ann Stanley,  
Non-Executive Director, Chair - Audit Committee

Distribution:

All Staff (via SHSC E-mail); SHSC Intranet Homepage; SHSC Serious Noticeboard

## **AUDIT COMMITTEE**

### **Members:**

<b>Ann Stanley</b>	Non-Executive Director Contact: through SHSC HQ 2716747
<b>Mervyn Thomas</b>	Non-Executive Director Contact: through SHSC HQ 2716747
<b>Susan Rogers</b>	Non-Executive Director Contact: through SHSC HQ 2716747

### **Also Attend:**

<b>Phillip Easthope</b>	Executive Director of Finance Contact: 0114 2716716
<b>Clive Clarke</b>	Executive Director of Operations & Deputy Chief Executive Contact: 0114 2716370
<b>Liz Lightbown</b>	Executive Director of Nursing, Professions and Care Standards Contact: 0114 2716713
<b>Mike Hunter</b>	Executive Medical Director Contact: 0114 2711312
<b>Margaret Saunders</b>	Director of Corporate Governance (Board Secretary) Contact: 0114 3050727
<b>James Sabin</b>	Deputy Director of Finance Contact: 0114 2263384
<b>Rashpal Khangura</b>	Director, KPMG Public Sector Audit Contact: 0113 2313543
<b>Lizzie Wharton</b>	Engagement Manager, KPMG Public Sector Audit Contact: 0113 2313611
<b>Tim Thomas</b>	Director, 360 Assurance Internal Audit Service Contact: 0116 2256113
<b>Lisa Mackenzie</b>	Associate Director, 360 Assurance Internal Audit Service Contact: 07540 672937
<b>Robert Purseglove</b>	Local Counter Fraud Officer Contact: 01709 428701

### **Additional Contact Points:**

<b>Public Disclosure Hotline:</b>	020 7404 6609
<b>NHS Fraud &amp; Corruption Reporting Line:</b>	0800 028 40 60
<b>SHSC Senior Independent Director: Mervyn Thomas</b>	Contact: through SHSC HQ 2716747