

'You matter, we care'

Trust Board Meeting (Part 1)	Date: 25 February 2015
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Title:	Committee Chair's report – Audit and Risk Committee
Item:	BD/14/290.1

Executive Director lead and presenter	Tony McNiff, Chair of Audit and Risk Committee
Report author(s)	Alexander Lauder-Bliss, Governance and Risk Coordinator

History:	<i>n/a</i>
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This report is for:	
Decision	
Discussion	
To Note	X

Purpose
To update the Board of business discussed at the Audit and Risk Committee of 16 th February 2015.

Background
This report outlines the business discussed at this meeting.

Business undertaken
<ul style="list-style-type: none"> • Trust-wide Risk Register • Clinical Executive Risk Register • Board Assurance Framework • Risk Management Strategy and Risk Management Policy • Register of Directors Interests and Register of Gifts and Hospitality • Internal Audit Progress Report and receipt of reports • Internal Audit Plan for first 6 months of 2015/16 • External Audit Progress Report • Review of Annual Account Timetable & Plans

Chairs Report to Trust Board

- Committee Terms of Reference and annual work plan 2015/16

Key risks and their impact on the organisation

- The Trust wide register was the same one reviewed at the previous board meeting and it was due to be considered again by the Executive that week. The register was split between strategic and operational risks
- Target scores for Staffing Risks TW7 and TW15 need to be reviewed as they are not correct
- Clinical Risk register well explained but the quality of the document needs to be improved
- Target scores need to be reconsidered e.g. Ligature Point target is 4 (with target severity 2?)
- The committee considered how the variety of controls that had emerged since the CQC inspection (Huddle, Quality Visits) should be referenced within a wider assurance framework
- The committee discussed the real risk that the replacement clinical records system may not be ready in time for the transition in Oct 15. F&P is sighted on this risk but the Committee felt that a more robust contingency plan was required. It was suggested that this risk should be escalated to the Trust Wide Register at the forthcoming review

Key decisions

See Recommendations below

Exceptions and challenges

One internal Audit Report (Medical Staffing) was not included in the papers but was presented to the Committee on the day of the meeting

Governance and other business

Committee evaluation scored the meeting at an average of 4. The meeting overran by 30 mins which reflected the additional time taken reviewing the Clinical Risk Register. It was felt that this was time well spent and that we were focussing our time on the key issues.

Future Business

The Committee considered and agreed a Work plan for 2015/16 with some minor amendments relating to the timing of discussions on Quality Accounts

Recommendations

- Trust Wide BAF was considered and it was agreed that this would be a good document for Board members to review to get a better perspective of key risks to our Strategic Objectives and the current mitigations across the Trust

Our values: PRIDE – passion, respect, integrity, diversity, excellence

Chairs Report to Trust Board

- The Committee considered the Risk Management Strategy and felt that it should refer the Strategy back to Board to consider whether in light of the recent CQC inspections its appetite for a higher level of risk when innovating or developing businesses and services, remains current
- The Committee reviewed the Register of Directors Interests and recommended that more information be requested about the nature of Director shareholdings in private companies to ensure that those interests did not represent any conflict
- The trust received an Amber Red Internal Audit Report on Job Plans and Payments. This triangulated with a Counter Fraud reference in the January meeting. The recommendations were accepted by the executive and action has been taken to address concerns
- The Committee approved an Interim Internal Audit Plan for 6 months whilst the Internal Audit function was being retendered. The plan was focussed on the key risks identified within the Trust Wide Risk Register. It was noted however that the plan did not make reference to CIPS delivery, yet that was an area of concern for External Audit last year. The Committee suggested that the Internal Audit Plan should be shared with other Committee Chairs to ensure that they were sighted on Internal Audits which may impact or inform the work of their committees
- The Committee considered and agreed the revised TORs subject to minor amendments

This report addresses these Strategic Priorities:

We will deliver the best care	X
We will support and develop our staff	
We will continually improve what we do	X
We will use our resources wisely	X
We will be future focussed	X