

<b>Trust Board meeting (Part 1)</b>		<b>Date:</b>	<b>27 April 2016</b>
<b>Agenda item</b>	<b>Title</b>	<b>Executive Director lead and presenter</b>	<b>Report author</b>
<b>BD/16/017.2</b>	<b>Report of the Audit and Risk Committee Chair from meeting held on 15 April 2016</b>	<b>Charlotte Moar, Non-Executive Director</b>	<b>Charlotte Moar, NED</b>
<b>This report is for:</b>			
Decision			
Discussion			
To Note		X	
<b>History</b>			
<i>None.</i>			
<b>The following impacts have been identified and assessed within this report</b>			
Equality	None identified at this time.		
Quality	None identified at this time.		
Privacy	None identified at this time.		
<b>Executive summary of key issues</b>			
This report summarises the work of the Audit and Risk Committee during the month of April. The Board is asked to <b>note</b> the report.			
<b>This report addresses these strategic priorities:</b>			
We will deliver the best care		X	
We will support and develop our staff		X	
We will continually improve what we do		X	
We will use our resources wisely		X	
We will be future focussed		X	

## 1 Business Undertaken

- The Committee considered the following:
- Update on Trust risk registers
- Swindon Locality Risk Register
- Bristol LDU system leadership revised arrangements
- Progress with internal and external audit plans including internal audit reports on recruitment (green), medical staffing/job planning (amber/green), financial controls and payroll (amber/green).
- Preparation for the annual audit of accounts

## 2 Key Decisions

- The Committee approved the revised Risk Management Policy, Records Management Policy, Internal Audit and Counter Fraud plans for 2015/16 and the going concern statement. Approval of the Annual Governance Statement was delegated to the Chair and NED.

## 3 Exceptions and Challenges

- The key risks presented by Swindon locality related to privacy and dignity, DTOCS, the waiting list for the memory service and physical access to the Applewood roof. The Committee was assured around mitigation of these risks.
- The Committee noted with concern the current shortage of staff in the Finance Department which, when coupled with the tight timing of the accounts, meant that there is a risk to delivery.
- The Committee noted that with the successful transfer of the data warehouse, a major risk to the Trust had been closed and thanked the IT department for their work to deliver this.

## 4 Impact of Risks to the Achievement of Strategic Objectives

- The new arrangements for system leadership in Bristol were discussed and it was agreed that this topic will be

reviewed in the autumn, alongside the Risk Register for system leadership. There is time in the 2016/17 internal audit plan to provide further support and assurance.

## 5 Governance and Other Business

- The Committee noted the internal audit plan for the year had been completed. The Head of Internal Audit's Opinion was that the Trust had adequate and effective arrangements in place.

## 6 Future Business

- The Committee noted that the 2016/17 Clinical Audit work plan would be considered by the Quality and Standards Committee in June alongside the Quality Objectives and risks and would then return to the Audit and Risk Committee for approval.

## 7 Horizontal Reporting

- It was agreed that audit reports should go to the most appropriate committee for scrutiny. The Audit and Risk Committee will approve all annual audit plans and ensure that they are aligned to the assurance framework and provide assurance around key risks.
- The Chair of the Audit Committee agreed to discuss with the Chair of Finance and Planning Committee the importance of ensuring that delivery of CIPS was monitored regularly through Q1 as there was a risk that with the change in Executive Directors the focus may slip.
- It was noted that the ICO inspection had confirmed limited assurance and that the action plan in response to this was due to be presented to Quality and Safety Committee shortly.

## 8 Recommendations

- The Board is recommended to approve the revised terms of reference of the Committee and the annual work programme for 2016/17 and to note the annual review of the Committee.