

Trust Board meeting (Part 1)		Date:	29 March 2017
Agenda item	Title	Executive Director lead and presenter	Report author
BD/16/276	Report of the Audit and Risk Committee Chair from meeting held on 10 February 2017	Charlotte Moar, NED	Charlotte Moar, NED
<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>			
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:
- Wiltshire Risk Register
- Update on BAF and Trust Risk Register
- Internal Audit, External Audit, Clinical Audit and Counter Fraud 2016/17 plans
- Draft internal audit and clinical audit 2017/18 workplans
- Charitable Funds accounts and revised procedures
- Information Governance Steering Group minutes and terms of reference

## 2 Key Decisions

- The Committee approved the IGSG Terms of Reference and Charitable Funds revised procedures.

## 3 Exceptions and Challenges

- The Committee discussed the draft internal audit plan for 2017/18 and noted the progress with developing the clinical audit plan for 2017/18. This will go to Q&SC for scrutiny prior to approval by A&RC in April 2017.
- The Committee received an update on ensuring that effective performance management arrangements were in place throughout the Trust. The Committee was assured that arrangements in place for this were in place around LDUs but requested confirmation from the CEO as to how this was in place for corporate directorates and Trustwide.

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

- The Wiltshire risk register was presented and provided assurance that risks were regularly reviewed and mitigations were in place. The Committee noted that 5/8 of the top risks related to staffing and it was of ongoing concern that workforce risks did not feature on the top risks for the Trust.
- The Committee received an update on progress with risks and noted that they still did not have assurance that a detailed plan was in place to implement the risk management policy of the Trust, particularly in relation to use and understanding of Riskweb and to a consistent view of the top risks to the Trust. The Executive Team will consider

the top risks on 21 February and the Board in March. This will enable the BAF and risk register by 31 March 2017.

- The Committee noted that the signoff of internal audit reports remained late, had not been scrutinized by relevant Executives and that many actions on the tracker had not been completed. This did not provide assurance that internal audit was being used effectively by management. The Director of Finance/ Board Secretary will meet with internal audit to agree a revised process.

## 5 Governance and Other Business

- The Committee noted five internal audit reports. Safer staffing, and Data Quality which had been considered by the Q&SC and which had reasonable assurance. Organisational Culture which was due to go to Q&SC and which had partial assurance. Procurement, Estates and Accommodation which had partial assurance. The Committee noted that internal audit were on track to complete the plan by 31 March 2017.

## 6 Future Business

- Detailed plan for improving the Trust's arrangements around risk management.
- Approval of internal audit and clinical audit plans which align to Trust business plan objectives and key risks.

## 7 Horizontal Reporting

- The action from the Board for CM/MO to meet with internal and external audit was underway.