

Audit and Risk Committee

There will be a meeting of the **Audit and Risk Committee** of **Orkney NHS Board** virtually via **Microsoft Teams** on **Tuesday, 4 May 2021** at **11:30**

David Drever
Chair

B U S I N E S S

Item	Topic	Lead Person	Paper Number	Purpose
1	Apologies	Chair		To <u>note</u> apologies
2	Declaration of interest – agenda items	Chair		To <u>record</u> any declarations of interest regarding agenda items
3	Minute of previous meetings held on: • 2 March 2021	Chair		To check for accuracy, <u>approve</u> and <u>signature</u> by Chair
4	Matters arising	Chair		To <u>seek assurance</u> that actions from the previous meeting have been progressed
5	Action Log	Chair		To <u>monitor progress</u> against the actions due by the meeting date and to agree corrective action where required
6	External Audit <i>No items for discussion at this meeting.</i>			
7	Internal Audit			
7.1	Draft Internal Audit Annual Report 2020/21	Internal Auditor	ARC2122-01	To <u>receive</u> draft annual report, <u>discuss</u> , and <u>provide comment</u>

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7.2	Draft Internal Audit Plan for 2021/22	Internal Auditor	ARC2122-02	To <u>receive</u> draft plan for 2021/22, <u>discuss</u> , and <u>provide comment</u>
7.2	Internal Audit Reports			
7.2.1	Use of Locums	Internal Auditor	ARC2122-03	To <u>review</u> report and seek assurance on performance
7.2.2	Corporate Governance	Internal Auditor	ARC2122-04	To <u>review</u> report and seek assurance on performance
7.2.3	Waiting Times	Internal Auditor	ARC2122-05	To <u>review</u> report and seek assurance on performance
7.2.4	Internal and External Communications	Internal Auditor	ARC2122-06	To <u>review</u> report and seek assurance on performance
7.2.5	Estates Management	Internal Auditor	ARC2122-07	To <u>review</u> report and seek assurance on performance
8	Internal and External Audit recommendations			
8.1	Internal and External Audit recommendations follow-up report	Director of Finance	ARC2122-08	To <u>note</u> the status and update of the actions and approve the amended timescale
<i>[Comfort Break]</i>				
9	Annual Governance Statement			
9.1	Draft Directors' Subsidiary Statement on Governance	Director of Finance	ARC2122-09	To <u>review</u> the statement on governance and <u>seek assurance</u> that adequate and effective internal control framework has been in place

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10	Information Governance			
10.1	Information Governance Action Plan Progress Report	Director of Finance	ARC2122 -10	To <u>note</u> the update provided and <u>seek assurance</u> on progress
10.2	Information Governance Group Chair's Report and approved minutes	Director of Finance	ARC2122 -11	To <u>note</u> the Chair's Report and approved minutes provided
10.3	Information Governance Group Annual Report 2020/21	Director of Finance	ARC2122 -12	To <u>note</u> the IGG Annual Report
11	Annual Accounts			
11.1	Annual Accounts Update	Director of Finance	Verbal	To <u>receive assurance</u> on the progress with the annual accounts for 2020/21
12	Fraud			
12.1	Attempted Fraud on the Endowment Bank Account	Director of Finance / Head of Finance	ARC2122 -13	To <u>receive</u> the details of an instance of attempted fraud against NHS Orkney
13	Risks			
13.1	Risk and Assurance Report	Head of Assurance and Improvement	ARC2122 -14	To <u>note</u> the update provided and <u>seek assurance</u> on progress
13.2	Risks escalated from other Governance Committees: <ul style="list-style-type: none"> <i>Staff Governance Committee – Cross Committee Assurance Report</i> 	Chair	ARC2122 -15	To <u>review</u> the report and risks raised
14	Governance			
14.1	Annual Litigation Report	Patient Experience	ARC2122 -16	To <u>update</u> members on current litigation

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		Officer		cases and financial information
14.2	<u>Governance Committee Annual Reports 2020/21</u>			
14.2.1	Audit and Risk Committee Annual Report 2020/21	Chair	ARC2122-17	To <u>review</u> and <u>approve</u> the Audit Committee Annual Report for year 2020/21
14.2.2	Clinical and Care Governance Committee Annual Report 2020/21	Chair	ARC2122-18	To <u>receive</u> the Annual Report of the Clinical and Care Governance Committee for review and providing assurance on performance
14.2.3	Finance and Performance Committee Annual Report 2020/21	Chair	ARC2122-19	To <u>receive</u> the Annual Report of the Finance and Performance Committee for review and providing assurance on performance
14.2.4	Remuneration Committee Annual Report 2020/21	Chair	ARC2122-20	To <u>receive</u> the Annual Report of the Remuneration Committee for review and providing assurance on performance
14.2.5	Staff Governance Committee Annual Report 2020/21	Chair	ARC2122-21	To <u>receive</u> the Annual Report of the Staff Governance Committee for review and providing assurance on performance
14.3	<u>Governance Committee Annual Development Session Documentation for 2021/22</u>			
14.3.1	Joint Clinical and Care Governance Committee	Chair	ARC2122-22	To <u>receive</u> the approved

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	<ul style="list-style-type: none"> • <i>Terms of Reference</i> • <i>Workplan</i> 			documentation from the Clinical and Care Governance Committee for review and assurance
14.3.2	Finance and Performance Committee <ul style="list-style-type: none"> • <i>Terms of Reference</i> • <i>Workplan</i> • <i>Risks, Controls, and Assurance Framework</i> 	Chair	ARC2122-23	To <u>receive</u> the approved documentation from the Finance and Performance Committee for review and assurance
14.3.3	Remuneration Committee <ul style="list-style-type: none"> • <i>Terms of Reference</i> • <i>Workplan</i> • <i>Risks, Controls, and Assurance Framework</i> 	Chair	ARC2122-24	To <u>receive</u> the approved documentation from the Remuneration Committee for review and assurance
14.3.4	Staff Governance Committee <ul style="list-style-type: none"> • <i>Terms of Reference</i> • <i>Workplan</i> 	Chair	ARC2122-25	To <u>receive</u> the approved documentation from the Staff Governance Committee for review and assurance
14.4	Agree items to be brought to attention of Board or other Governance Committees	All		To <u>agree</u> key messages to escalate to Board or Governance Committees
15	Any Other Competent Business			
16	<u>*Items for Information and Noting Only</u>			
16.1	<u>Audit Scotland Reports</u>			
16.1.1	Technical Bulletin 2021-01			

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16.2	*Reporting Timetable for 2021/22			
16.3	*Record of Attendance			
17	Committee Evaluation	All members Led by Chair		

*Items marked with an asterisk are for noting only and any queries should be raised out with the meeting with the relevant Lead Director or Board Secretary to seek further assurance on performance.

Distribution:

Audit and Risk Committee Members:

David Drever	Chair
Davie Campbell	Vice Chair
Fiona MacKellar	Employee Director
Jason Taylor	Non-Executive Director

In attendance:

Christina Bichan	Head of Improvement and Assurance
Julie Colquhoun	Head of Corporate Administration
Michael Dickson	Interim Chief Executive
Mark Doyle	Director of Finance (Lead)
David Eardley	Chief Internal Auditor, Azets
Claire Gardiner	Senior Audit Manager, Audit Scotland
Colin Morrison	External Auditor, Audit Scotland
Keren Somerville	Head of Finance
Matthew Swann	Internal Audit Associate Director, Azets
Gillian Woolman	Audit Director, Audit Scotland

Committee Support:

Gemma Pendlebury, Senior Corporate Services Officer