



Dumfries and Galloway
Integration Joint Board
Audit and Risk Committee

**Minute of Dumfries and Galloway
Integration Joint Board Audit and Risk
Committee meeting held on
11th September 2018**

For Approval

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit and Risk Committee meeting held on 11th September 2018 at 2pm in Ryan North Meeting Room, Crichton Hall

Present:

Ian Carruthers	(IC)	Chair-Local Authority Voting Member
Laura Douglas	(LD)	Vice Chair – NHS Voting Member
Joanne Brown	(JB)	External Auditor - Grant Thornton
Lorna Carr	(LC)	NHS Voting Member
Heather Collington	(HC)	Senior Operational Manager, Social Work Services
Ann Farrell	(AF)	Local Authority Staff Representative
Angelo Gustinelli	(AG)	External Auditor - Grant Thornton
Katy Lewis	(KL)	Chief Finance Officer
Jane Maitland	(JM)	IJB Local Authority Voting Member
Julie Watters	(JWa)	Chief Internal Auditor

In Attendance:

Nigel Gammage	(NG)	IT Delivery Manager
Amber Murray	(AM)	Office Administrator

1. APOLOGIES FOR ABSENCE

Apologies were received from Eddie Docherty, Penny Halliday, Stephen Hare, Michelle McCoy and Julie White

2. DECLARATION(S) OF INTEREST

No declarations of interest were received.

3. MINUTES OF THE PREVIOUS MEETING

The previous Minutes were agreed as an accurate record of the meeting.

4. ACTION LIST

All actions will be updated accordingly.

5. FINAL INTEGRATION JOINT BOARD GOVERNANCE STATEMENT

This paper presents to the IJB Audit and Risk Committee the Governance Statement and Assurance Processes for 2017/18.

JW as Chief Officer is required as part of the Annual Accounts to prepare a Governance Statement for the IJB, JW has met with Susan Thomson and Alison Warrick to review this document, there is nothing further required to be disclosed. JWa has also reviewed this assurance pack.

JWa acknowledged there has been a lot of work put into this document by the team and it has developed over the past 12 months.

Appendix 1 highlights Elected Members and Officers of the IJB are committed to the concept and delivery of sound governance and the effective delivery of IJB services. IC highlighted for Elected to be amended to Appointed Members.

LD mentioned Appendix 2 page 14 is to confirm Grace Cardozo as chair until May 2017 not 2018. The committee confirmed this document works well, LD mentioned there is some information missing which will require updating in future years.

KL confirmed the best value update will be brought back in a workshop form at a future meeting.

Decision(s):

IJB Audit & Risk Committee:

- **Scrutinised and Reviewed the Final IJB Governance Statement and Assurance Processes for 2017/18.**

6. EXTERNAL AUDIT ANNUAL REPORT TO THOSE CHARGED WITH GOVERNANCE AND THE AUDITOR GENERAL IN SCOTLAND

This paper provides the Integration Joint Board with an update on the work of the External Auditors, the Audit and Risk Committee previously agreed the External Audit Plan set out by Grant Thornton as our External Auditors. The Chief Finance Officer met with Grant Thornton on 1st June 2018 to finalise the plan for the external audit for 2017/18.

JB highlighted this is draft report and this will go to the IJB on the 27th September 2018 for approval. This is the second year of the Audit and there were very little issues that came out of the Audit. These audits are done for both Health Board and Council. Both Audit Leads for the Council and NHS Board meet regularly to note any critical issues which could cause problems.

KL will draft a management response to the action in this report, JWa to draft KL a response for this.

Decision(s):

IJB Audit & Risk Committee:

- **Scrutinised and reviewed the attached report for Dumfries and Galloway Integration Joint Board / External Audit Annual Report to those charged with Governance and the Controller of Audit, 2017/18 financial year.**

7. INTERNAL AUDIT ANNUAL REPORT

The purpose of this report is to update Audit and Risk Committee on the assurances gained from delivery of the Internal Audit Plan for the Integration Joint Board (IJB) for the year 2017/18.

JWa mentioned in June 2018 the NHS Internal Audit Annual Report was brought for information, the council's annual report has been attached to this report for information, JWa discussed the plan and deliveries with the Chief Internal Auditor for the Council and went through its processes.

Audits within the NHS have been detailed that are relevant for the IJB. Two Audits have formally been closed off and seven are still outstanding, Corporate Risk Register is a concern and is required to be finalised.

LD mentioned around 4.12 agreed to action this and take this forward as a recommendation.

KL mentioned that this Committee has responsibility to provide assurance for the IJB to ensure all actions are taken on board and implemented. . Published report will be issued at the next Audit and Risk Committee in December 2018.

Decision(s):

IJB Audit & Risk Committee:

- **Noted the contents of this report which summarises the work undertaken by Internal Audit during 2017/18 and provides the Chief Internal Auditor's opinion on the internal control environment within the Integration Joint Board for the financial year 2017/18.**
- **Agreed that the Audit and Risk Committee monitor progress against closure of these actions moving forward.**

8. RISK MANAGEMENT QUARTERLY PROGRESS REPORT

This report provides an update on Risk Management Activity, The IJB Risk Management Strategy was approved by the IJB in July 2016.

KL highlighted this paper does not reflect on the discussions that had been undertaken, KL will pick up a conversation with Maureen Stevenson for the paper to be reviewed as the information is incomplete.

A conversation will be had with KL and Julie White to confirm a full updated report is required urgently.

LD asked if there is a resourcing issue for this piece of work, KL mentioned this is possibly an issue and this will be discussed further.

In 2013 Audit Scotland completed an Audit on risks and due to the opening of the New Hospital there has not been enough input into the Risk Register, Discussions have been had with Lillian Cringles around their input for risks for social work.

LD has asked for an update by the next meeting to ensure that this is progressing forward.

Decision(s):

IJB Audit & Risk Committee:

- **Noted the progress in implementing IJB Risk Management Strategy**
- **Noted the assurances that have been given and an update will be given at the next meeting in December.**

9. ANNUAL REPORTS AND ACCOUNTS 2017 / 18

This report presents the annual accounts for the IJB for the 2017/18 financial year. The annual accounts for the Integrated Joint Board reflects a breakeven outturn position for the 2017/18 financial year as previously reported to the Board at its meeting on 31st May 2018.

KL confirmed accounts have been made available within the libraries which was part of the shared learning and working together.

JM has asked about the double running of Mountainhall and how long has this been budgeted for, KL confirmed the NHS Board have decided to sell Crichton Hall and all these services will go to Mountainhall, the timeframe that was initially planned will be extended due to this plan an increased cost for using Mountainhall will happen, there will be significant savings moving out of Crichton Hall.

Final version of the Annual Accounts and External Audit Report will be taken to the September IJB. JB highlighted to the committee that there have been no particular concerns in terms of the Audit.

Decision(s):

IJB Audit & Risk Committee:

- **Approved the Integrated Joint Board's audited Annual Accounts for the financial year ended 31st March 2018 which will be submitted to the Integration Joint Board at its meeting on 27th September 2018 for final approval.**

10. INFORMATION SHARING UPDATE

Information sharing is an essential part of joint working. Progress to share information across our integrated team's remains slow due to a number of issues which are highlighted in this report:

- System readiness to be able to share data via linked interfaces.
- Organisational opinion/appetite for risk on matters such as privacy and data protection legislation makes electronic systems difficult to link via interfaces.
- Sensitivities around the interpretation of legislation (specifically associated to Children's services) and the need to develop a pragmatic approach to overcome a current stand still position.
- The introduction of a new approach to technology developments to ease the existing issues of sharing data and collaboration tools such as Email, Calendars, and Documents.

NG confirmed since the last update in March there has been some progress to report on a few specific matters. This is the plan that was formulated in July 2014 which was delayed. NG met with the council 10th September, NHS Board are now going ahead and accessing Mosaic which is a portal as we speak.

HC mentioned the December timeline is the date agreed through the Council's scrutiny committee to have the basic data sharing across the two systems available for staff to be able to access. The first stage is to match the records and to be able to share basic data. It was highlighted to the members that this Information sharing across the systems is to enhance and not to replace normal communications between colleagues.

LC mentioned there is a requirement for an IJB Direction for all staff to undertake this change.

IC has asked for this report to come back once the Full Council have reviewed this and this will be monitored by KL, G Gault and N Gammage. NG confirmed he meets with HC on a weekly basis and the council.

Decision(s):

IJB Audit & Risk Committee:

- **Noted the progress being made to support Inter Agency sharing of data**
- **Agreed for a report to come back to the first 2019 meeting.**

11. PROPOSED INTERNAL AUDIT ARRANGEMENTS FOR 2018 / 19 ONWARDS

The purpose of this report is to present the proposed arrangements for Internal Audit provision for the Integration Joint Board for 2018/19. JWa was appointed as the Chief Internal Auditor for the IJB for one year in 2016 which has been approved

to be extended further for 2018 / 19 as there has been no other agreement secured. KL mentioned that extra resources may be required for JWa.

This is KL responsibilities to make sure these arrangements happen. JWa mentioned having a more permanent arrangement will help her plan and undertake the work.

The IJB Audit and Risk committee is required to have assurance on the Internal Audit Arrangements.

JM mentioned that she was not comfortable approving this current arrangement as there is not enough information in the document, JWa will bring the resource plan for this year to the next committee.

KL mentioned a level of assurance is required today for JWa. JB mentioned she can share information on other arrangements that are in place for internal audit.

Decision(s):

IJB Audit & Risk Committee:

- **Supported the Chief Finance Officer decision to appoint the Chief Internal Auditor for the IJB and that a further report is to be brought back to the next IJB committee.**

12. ANY OTHER BUSINESS DEEMED URGENT BY THE CHAIR DUE TO THE NEED FOR A DECISION

There was no any other business noted.

13. DATE OF NEXT MEETING

The next meeting to be rescheduled to Monday 17th December 2018 at 2pm in the Conference Room, Crichton Hall.