



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  
17<sup>th</sup> December 2018**

*For Approval*

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit and Risk Committee meeting held on 17<sup>th</sup> December 2018 at 2pm in Conference Room Meeting Room, Crichton Hall

**Present:**

Ian Carruthers	<b>(IC)</b>	Chair - Voting Member
Laura Douglas	<b>(LD)</b>	Vice Chair –Voting Member
Joanne Brown	<b>(JB)</b>	External Auditor - Grant Thornton
Angelo Gustinelli	<b>(AG)</b>	External Auditor - Grant Thornton
Katy Lewis	<b>(KL)</b>	Chief Finance Officer
Jane Maitland	<b>(JM)</b>	Voting Member
Maureen Stevenson	<b>(MS)</b>	Patient Safety and Improvement Manager
Julie Watters	<b>(JW)</b>	Chief Internal Auditor

**In Attendance:** Hannah Green **(HG)** Office Administrator

**1. APOLOGIES FOR ABSENCE**

Apologies were received from Ann Farrell and Julie White

**2. DECLARATION(S) OF INTEREST**

No declarations of interest were received.

**3. MINUTES OF THE PREVIOUS MEETING**

The minutes were approved with the exception of Item 8. In 2013 it was Internal Audit who completed an Audit on risks and due to the opening of the New Hospital there has not been enough input into the Risk Register.

**4. ACTION LIST**

All actions will be updated accordingly. HG will share the Information Sharing paper that is due to be submitted to the Council.

It was agreed that historical actions should be removed from the action list.

**5. RISK STRATEGY UPDATE**

This report provides an update on Risk Management Activity.

Health and Social Care Senior Management Team and a sub group have looked at this Risk Register, to review the IJB strategic risks. These 3 risks are specified in point 4.2 of the paper. It was discussed that as there is currently no joint system for reviewing and reporting adverse risks within the Partnership.

Reporting is currently taking place through locality offices, as the Council cannot access DATIX through their internal system. LD queried that there may be some other risks that haven't been identified within this report. A risk was identified around ineffective partnership working – does this sit within the IJB or partnership team? IC suggested that a Workshop should take place early next year discussing risk strategy with the IJB committee. IJB Members, NHS Board Members, all Council Members, NHS Internal Audit and Council Internal Audit will be invited along to the Workshop.

The issue of how risks are reflected in the issuing of directions need to be discussed with Julie White and KL will pick this up with her.

JM feels that there should be a specific risk regarding the Information Sharing Update. This is being discussed at a Full Council meeting that will take place tomorrow. HG will circulate this Information Sharing paper.

**Decision(s):**

**IJB Audit & Risk Committee:**

- **Noted progress in implementing IJB Risk Management Strategy**
- **Approved the IJB Risks identified and assessed for the IJB Risk Register**

**6. DRAFT INTERNAL AUDIT PLAN 2018/19**

This report outlines the internal audit plan for the Integration Joint Board for 2018/19.

JWa advised that this proposed plan for 2018/19 requires approval from the Committee. JWa was appointed Chief Internal Auditor for the IJB in September and this position has been confirmed on a permanent basis. The plan has been developed based on the risks of the IJB which highlights where the operational delivery of services sits within NHS and the Local Authority and where the internal audits are planned to take place. There are a number of assurances being made regarding these services and JWa coordinates these assurances that are being made. A meeting took place between JWa, IC, LD and Internal Audit from the Council to discuss the position for 2017/18. JWa will bring further detail in her report to the March meeting.

There are currently 6 outstanding actions arising from the IJB Governance Internal Audit and KL will work with Alison Warrick regarding providing a management update on progress to the next meeting.

From 2019/20, it would be advantageous for the potential on at least one shared Audit between the NHS and Council to be carried out.

IC will push to make sure that this process is in place with both the NHS and the Council Audit and Risk Committees.

**Decision(s):**

**IJB Audit & Risk Committee:**

- **Approved the Internal Audit plan for 2018/19 and considered the process for receiving assurances on relevant audit work undertaken.**

**7. EXTERNAL AUDITORS DRAFT PLAN 2018/19**

This paper provides the Audit and Risk Committee with an update on the work of the External Auditors

JB advised that the fee letters were only sent out last week, therefore this is why the report is in draft form. No additional risks have been identified. The audit fee is the same for every IJB within Scotland.

JB will submit the relevant information to Audit Scotland which they will then publish on their website.

**Decision(s):**

**IJB Audit & Risk Committee:**

- **Scrutinised and reviewed the attached draft External Audit Plan for Dumfries and Galloway Integration Joint Board during the 2018/19 Financial Year**

**8. CHIEF FINANCE OFFICER QUARTERLY UPDATE**

An update is provided to Audit and Risk Committee on a quarterly basis to reflect activity in the previous quarter and to update on a range of technical matters.

KL referenced the external audit fee in this paper, but advised that this has since been confirmed by JB. The Scottish Government published their 3 year

Financial Framework in October. The Draft Budget took place last week and confirmed additional resources for Social Care. KL to provide an update on the payment of living wage for sleeping night's wage that has been previously discussed at the IJB.

**Decision(s):**

**IJB Audit & Risk Committee:**

- **Noted the Chief Finance Officer Quarterly Report and the updates provided.**

**9. AUDIT SCOTLAND REPORTS UPDATE**

Audit Scotland provides the Auditor General and the Accounts Commission with the services they need to check that public money is being spent properly, efficiently and effectively. The IJB Audit and Risk Committee require to be assured that all reports being issued from Audit Scotland are being identified, disseminated, reviewed and implemented where required.

KL provided an overview of the paper. It is the role of the Audit and Risk Committee to monitor these reports. KL has checked recent reports and three have a relevance to the IJB. An action plan will need to be developed regarding these reports. KL is in the process of inviting Claire Sweeney back to Dumfries and Galloway to discuss the Integration report. NHS Scotland provided a checklist which is an appendix to this report, it was confirm that Leigh Johnstone from Audit Scotland is also creating a similar checklist for the IJB.

**Decision(s):**

**IJB Audit & Risk Committee:**

- **Noted the Audit Scotland Reports Register which will be presented to Audit and Risk Committee on a quarterly basis (Appendix 1)**
- **Noted the 3 reports included within the register this quarter (Appendix 2,3,4)**

**10. DATE OF NEXT MEETING**

The next meeting will be held on Monday 11<sup>th</sup> March 2019 at 2pm - venue to be confirmed.