

## ACTION LIST – IJB AUDIT AND RISK COMMITTEE

| Meeting Date | Agenda Item | Action   | Person(s) Responsible              | Current Status/Action Taken   | Date Completed |
|--------------|-------------|--|------------------------------------|---|----------------|
| 17/12/2018   | 5           | <b>RISK STRATEGY UPDATE</b><br><br>KL plans to discuss the issue of risks regarding the issuing of Directions with Julie White.  | <b>Katy Lewis</b>                  | This will be incorporated into a review of risks identified as part of H&SCI self assessment  |                |
| 17/12/2018   | 5           | <b>RISK STRATEGY UPDATE</b><br><br>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. | <b>Hannah Green</b>                | JW will discuss Workshop prioritization with PH.<br><br>HG to check workshop dates with AM.<br><br>Agreed to incorporate into Audit Scotland work and hold a workshop at a future meeting if required. KL has advised JW and will feedback at a future date |                |
| 17/12/2018   | 6           | <b>DRAFT INTERNAL AUDIT PLAN</b><br><br>There are currently 6 outstanding actions arising from the IJB Governance Audit and KL will work with Alison Warrick regarding this  | <b>Katy Lewis / Alison Warrick</b> | Report included on agenda for 11 <sup>th</sup> March Audit and Risk meeting. Propose that this report becomes a standing item at each committee until all actions are closed  |                |
| 17/12/2018   | 6           | <b>DRAFT INTERNAL AUDIT PLAN</b><br><br>JWa will bring back point 4.5 to the March / April meeting - is recruitment and retention for both organisations?  | <b>Julie Watters</b>               | JWa will provide an update in her quarterly report to the March Audit and Risk committee.   |                |
| 17/12/2018   | 6           | <b>DRAFT INTERNAL AUDIT PLAN</b><br><br>IC will push to make sure that this process is in place with both the NHS and the Council Audit and Risk Committees.   | <b>Ian Carruthers</b>              | A planning meeting took place between IC, LD, JWa and Chief Internal Auditor of DGC to explore options. A further meeting is being scheduled.   |                |

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|--------------|-------------|--|--|--|----------------|
| 17/12/2018   | 7           | <b>EXTERNAL AUDITORS DRAFT PLAN 2018/19</b><br><br>JB will submit this report to Audit Scotland which they will then publish on their website.   | <b>Joanne Brown</b>                                      | Joanne is sending the final updated version to Audit Scotland this month. Audit Scotland will publish this on their website around April 2019 once all reports are received from all partnerships.   |                |
| 17/12/2018   | 8           | <b>CHIEF FINANCE OFFICER QUARTERLY UPDATE</b><br><br>KL to confirm the sleeping night's wage that has been previously discussed.   | <b>Katy Lewis</b>  | Confirmed that the Cabinet Secretary wrote to all Partnerships in January 2019 asking for confirmation that living wage for sleeping nights was implemented by 18/19. Confirmed that we have brought forward implementation from 1 <sup>st</sup> May 2019 to March 2019 to comply with this direction. |                |
| 17/12/2018   | 9           | <b>AUDIT SCOTLAND REPORTS UPDATE</b><br><br>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. Leigh Johnstone is creating a similar checklist for the IJB. | <b>Katy Lewis</b>  | KL confirmed that an invite has been extended to Claire Sweeney and we await confirmation of a date.<br><br>Confirm that workshop has been organized for 15 <sup>th</sup> April 2019.  |                |
| 11/09/2018   | 10          | <b>INFORMATION SHARING UPDATE</b><br><br>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.<br><br>17 <sup>th</sup> December 2018 – Update HG to circulate Information Sharing Update that has been sent to the Full Council  | <b>Katy Lewis /<br/>Graham Gault /<br/>Nigel Gammage</b> | G Gault is attending the March 2019 meeting to provide this update. G Gault to do a cover paper and an update ahead of the meeting in March.   |                |
|              |             |  |  |  |                |

### Completed Actions

| Completed Actions |   |   |                          |  |
|-------------------|---|---|--------------------------|--|
| 21/06/2018        | 8 | <b>Update Risk Report</b><br><br>There was a discussion about the review of risk arrangements about support for MS from the Council and that the committee would like an update at the next meeting on progress on this. KL also confirmed that JW would be updating members at | <b>Maureen Stevenson</b> | This was discussed at the December meeting<br><br>17/12/2018 |

### Agenda Matrix

| Area                             | March<br>11/03/19  | June<br>24/06/19  | September<br>09/09/19   | December<br>16/12/19  |
|----------------------------------|--|---|---|---|
| <b>Substantive Items</b>         | <ul style="list-style-type: none"> <li>• Apologies</li> <li>• Declarations of Interest</li> <li>• Minute of the Previous Meeting</li> <li>• Matters Arising/Action List/Rolling Agenda Matrix</li> <li>• AOCB</li> <li>• Date of Next Meeting</li> </ul> | <ul style="list-style-type: none"> <li>• Apologies</li> <li>• Declarations of Interest</li> <li>• Minute of the Previous Meeting</li> <li>• Meeting</li> <li>• Matters Arising/Action List/Rolling Agenda Matrix</li> <li>• AOCB</li> <li>• Date of Next Meeting</li> </ul> | <ul style="list-style-type: none"> <li>• Apologies</li> <li>• Declarations of Interest</li> <li>• Minute of the Previous Meeting</li> <li>• Meeting</li> <li>• Matters Arising/Action List/Rolling Agenda Matrix</li> <li>• AOCB</li> <li>• Date of Next Meeting</li> </ul> | <ul style="list-style-type: none"> <li>• Apologies</li> <li>• Declarations of Interest</li> <li>• Minute of the Previous Meeting</li> <li>• Meeting</li> <li>• Matters Arising/Action List/Rolling Agenda Matrix</li> <li>• AOCB</li> <li>• Date of Next Meeting</li> </ul> |
| <b>Annual Accounts Assurance</b> | <ul style="list-style-type: none"> <li>• N/A</li> </ul>  | <ul style="list-style-type: none"> <li>• Assurances Update to Committee</li> </ul>  | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| <b>External Audit</b>            | <ul style="list-style-type: none"> <li>• Progress Update Report</li> </ul>   | <ul style="list-style-type: none"> <li>• Progress Update Report</li> </ul>  | <ul style="list-style-type: none"> <li>• Audit Plan</li> </ul>  | <ul style="list-style-type: none"> <li>• Progress Update Report</li> </ul>  |

|   |   |  |   |   |
|---|---|--|---|---|
| <b>Internal Audit</b>                                 | <ul style="list-style-type: none"> <li>• Audit Activity Report</li> <li>• Limited Assurance Audit Update</li> <li>• Draft Internal Audit Plan – Julie Watters bring back point 4.5</li> </ul> | <ul style="list-style-type: none"> <li>• Audit Plan</li> <li>• Internal Audit Annual Report</li> </ul>     | <ul style="list-style-type: none"> <li>• Audit Activity Report</li> <li>• Limited Assurance Audit Update</li> </ul> | <ul style="list-style-type: none"> <li>• Audit Activity Report</li> <li>• Limited Assurance Audit Update</li> </ul> |
| <b>Risk</b>   | <ul style="list-style-type: none"> <li>• Risk Management Quarterly</li> <li>• Progress Report</li> </ul>  | <ul style="list-style-type: none"> <li>• Risk Management Quarterly</li> <li>• Progress Report</li> </ul>   | <ul style="list-style-type: none"> <li>• Risk Management Quarterly</li> <li>• Progress Report</li> </ul>            | <ul style="list-style-type: none"> <li>• Risk Management Quarterly</li> <li>• Progress Report</li> </ul>            |
| <b>Information Assurance/<br/>Information Sharing</b> | <ul style="list-style-type: none"> <li>• Graham attending March meeting to provide this – cover paper required</li> </ul>   | <ul style="list-style-type: none"> <li>• Update as Requested</li> </ul>                                    | <ul style="list-style-type: none"> <li>•</li> </ul>   | <ul style="list-style-type: none"> <li>•</li> </ul>   |
| <b>Financial Reporting</b>                            | <ul style="list-style-type: none"> <li>• Quarterly Update from Chief</li> <li>• Finance Officer</li> </ul>  | <ul style="list-style-type: none"> <li>• Quarterly Update from Chief</li> <li>• Finance Officer</li> </ul> | <ul style="list-style-type: none"> <li>• Quarterly Update from Chief Finance Officer</li> </ul>                     | <ul style="list-style-type: none"> <li>• Quarterly Update from Chief Finance Officer</li> </ul>                     |