



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  
11<sup>th</sup> March 2019**

*For Approval*

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit and Risk Committee meeting held on 11<sup>th</sup> March 2019 at 2pm in Meeting Room 1, Mountainhall Treatment Centre, Bankend Road, Dumfries.

<b>Present:</b>	Ian Carruthers	<b>(IC)</b>	Chair - Voting Member
	Laura Douglas	<b>(LD)</b>	Vice Chair – Voting Member
	Jane Maitland	<b>(JM)</b>	Voting Member
	Katy Lewis	<b>(KL)</b>	Chief Finance Officer
	Ann Farrell	<b>(AF)</b>	Staff Side Representative
	Julie Watters	<b>(JW)</b>	Chief Internal Auditor

<b>In Attendance:</b>	Kyle McKie	<b>(KM)</b>	Minute Secretary
	Graham Gault	<b>(GG)</b>	Head of Information Management and Technology
	Penny Halliday	<b>(PH)</b>	IJB Chair
	Heather Collington	<b>(HC)</b>	Head of Adult Social Work Services
	Vicky Freeman	<b>(VF)</b>	Head of Strategic Planning
	Vicky Keir	<b>(VK)</b>	Staff Side Representative

#### 1. APOLOGIES FOR ABSENCE

Apologies were received from Julie White and Joanne Brown.

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

No declarations of interest were received.

#### 3. MINUTES OF THE PREVIOUS MEETING

These were agreed as an accurate record.

#### 4. ACTION LIST

KL advised that the format for the action list has been amended and an updated hard copy version has been brought to the meeting for members to agree on.

KL gave an update on the following items from the Actions List:

- Risk Management Strategy – KL will discuss this later in the agenda.
- Risk Strategy Update – KL advised that discussions were held with the Chair and the Vice Chair of IJB Audit and Risk Committee and it was agreed that this would be incorporated into the Audit Scotland Workshop scheduled for 15 April 2019. Following this workshop it will be decided whether a further workshop is required on risk specifically.

- Report on Outstanding Audit Actions – an update has been brought back to this committee – it is recommended that this action be closed.
- Draft Internal Audit Plan – an update has been brought back to this Committee.
- Chief Finance Officer Quarterly Update – KL highlighted that guidance has been received from the Cabinet Secretary on Sleeping Nights. The implementation date was set for May 2019, to comply with the guidance from Cabinet Secretary this has been brought forward to 1<sup>st</sup> March 2019. It is proposed that this action be closed.
- Audit Scotland Workshop – the Audit Scotland Workshop has been arranged for 15 April 2019.
- Information Sharing – to be discussed under the update provided later in the agenda.

IC highlighted that the new format of the actions list is very useful. Committee Members agreed that the new format is an improvement in terms of information received.

PH requested that KL provide clarity on the response to the guidance from the Cabinet Secretary on Sleeping Nights. KL advised that in order to comply with the guidance received, the implementation date was brought forward to 1<sup>st</sup> March 2019 – no further actions were necessary to ensure compliance.

LD stated that the principle for actions relating to the arrangement of meetings is that these should be kept open until the meetings take place. The action relating to the Audit Scotland Workshop is to be kept open until after 15 April 2019.

## **5. RISK STRATEGY UPDATE**

This report provided an update on Risk Management Activity, KL highlighted that the Risk Management Strategy has been updated following the last meeting in December 2018.

It was noted that the rollout of DATIX to Social Work staff was delayed due to IT challenges.

KL advised that should the Chair and Vice Chair feel a further workshop (following the Audit Scotland Workshop on 15 April) is necessary in June 2019 then one will be arranged.

Committee members noted that Health and Social Partnership tactical risks are being updated and reviewed routinely through the Health and Social Care Senior Management Team.

KL stated to members that the Risk Management Strategy requires further updates as it was written at an early stage of the partnership, must now reflect the current state of the IJB.

KL highlighted that the report is written on a new report template to encompass the on the guidance around Directions.

HC informed members that she isn't aware of whether the Risk Systems work has been progressed with regards to the IT access issues. KL to bring back an update on the implementation of Risk Systems to the next meeting.

**Action: KL**

LD requested that any outcomes from the Audit Scotland Workshop on 15 April be fed back to JW to inform the Audit Plan for the year. IJB Audit and Risk Committee agreed that a session in early May 2019 should be organised to discuss this and the Committee Self Assessment.

**Action: KL/HG**

Discussion was held around the 3 main risks included in the Risk Management Strategy. KL highlighted that further risks can be added and current risks can be reworded and reviewed as part of the self assessment process. This would make the risk register "owned" by the Committee.

JM raised concerns that there may be too much focus on the detailed operational risks in the strategy – perhaps the basic risks (for example "are we integrating?") should be focussed on in these early stages of the Risk Management Strategy. KL reiterated that the current Risk Management Strategy will be updated. Risks will be considered as part of the Audit Scotland self assessment process.

Members noted that IJB Audit & Risk Committee should receive assurance from both parent bodies that their risk assurance processes were being followed.

The Risk Officers from NHS D&G and D&G Council are to be invited to the next IJB Audit and Risk Committee in order to provide an update on the current arrangements for risk assessment in the parent bodies.

**Action: HG**

#### **Decision(s):**

##### **IJB Audit & Risk Committee:**

- **Noted progress in implementing IJB Risk Management Strategy and the planned update to the strategy.**
- **Noted the ongoing work to review the IJB Risk Register and alignment to the Audit Scotland self assessment work.**

- **Requested that a further report be brought to a future meeting with an updated Risk Strategy and an update on the DATIX data sharing issues.**
- **Agreed that a further discussion between Committee Members on the Committee Self Assessment and Risk Management Strategy to be arranged for May 2019.**

## **6. IMPROVING INFORMATION / DATA SHARING UPDATE**

This report presents an update from a series of recommendations made by the Audit, Risk and Scrutiny Committee meeting of 10 April 2018 ( with full Committee update in December 2018) where it was agreed to undertake a review to improve our support to vulnerable people through improved data sharing arrangements.

IC advised that Full Council had made amendments to the 6 recommendations that the Council Scrutiny Committee had previously provided on this subject, including the creation of a 7<sup>th</sup> recommendation - that the Dumfries and Galloway Council Scrutiny Committee will oversee the progress on the Data Sharing work.

Members were advised that the Council's Scrutiny Committee expect 90-95% completion on the Data Sharing implementation by the end of 2019.

GG highlighted that the delay in the agreement of the Data Sharing Agreement within the Council during 2018 had resulted in the PORTAL being opened up for Social Work staff so that they can view NHS data. Health workers still do not have access to Social Work data – this is still waiting on a small amount of technical work being completed and the Data Sharing Agreement being signed off by the Local Authority. It is expected that this will be completed imminently.

Members were informed that the principles of data sharing has been broken down into levels – level 1 being the most accessible, featuring things such as key contacts etc. Each level above level 1 is increasingly sensitive.

IC queried who decides what level features what data, GG advised that the Data Sharing Committee decides what data features on what level – HC and GG both sit on this Committee.

HC highlighted that the reason for splitting the data into small levels means that each individual only receives the information they require to progress their work – giving unlimited access to the data would not be helpful or controlled.

GG advised that the risk averse approach is to protect both organisations from falling foul of the strict legislation around personal data.

LD queried whether this work would open up any vulnerability to cyber attack. GG stated that the firewalls for the security on NHS networks are still the same and have not been altered for this work. The Local Authority is altering their network security but it is assumed that their security protocols are still robust. HC highlighted that the data is not moving – each body is “viewing” the data held by the other via “read-only” access, therefore all data is held as securely as it was prior to the Data Sharing work beginning. IJB Audit and Risk Committee requested that GG update members with more detail on Network security issues

**Action: GG**

KL queried whether there was potential for sharing DATIX access with the Local Authority during the pilot work ongoing in Annan – GG informed Members that this would be possible as DATIX is within the SWAN Network, giving a level of protection that external sites do not possess.

GG advised that practitioners are being invited to Data Sharing committee to provide feedback on the levels of information provided as part of the pilot. This ensures that the most appropriate levels are being provided to those who need them.

GG highlighted that the NHS is rolling out new software called MORSE – this allows practitioners to download data onto mobile devices to allow for offline working. The Local Authority is also planning a similar development. IJB Audit and Risk Committee were informed that the data sharing implications for these methods require some further investigation. How to control who records information onto the system – brings up questions on who would be responsible for this data.

IC advised that a report on this matter is being brought back to D&G Council Scrutiny Committee and also to Full Council.

IJB Audit and Risk Committee discussed the benefits of Data Sharing to patient outcomes; it was highlighted that the sharing of phone numbers and details of appointments (low level information) would allow both bodies to coordinate care. Should an individual have a hospital appointment at 10.00am – Social Work would be able to see this and avoid setting an appointment for that individual at the same time. VF stated that these questions will be picked up as part of the Digital Health Programme Board once this is implemented. LD queried when the first meeting for this Board will be – GG stated that this has not been set yet.

JW highlighted that the risks behind this would be expected to be picked up and identified at the risk workshop.

IJB Audit and Risk Committee agreed that a further report on this subject should be received in 6 months time.

## **Decision(s):**

### **IJB Audit & Risk Committee:**

- **Discussed and Noted the report presented to Dumfries and Galloway Council's Full Council meeting on 18<sup>th</sup> December 2018 (attached as Appendix)**
- **Discussed and Noted further progress as outlined from Paragraph 4.8**
- **Agreed that a further report on this subject to be brought back in 6 months time**

## **7. CHIEF INTERNAL AUDITOR QUARTERLY UPDATE**

The purpose of this report is to provide an update to Audit and Risk Committee on delivery of the Internal Audit Plan for the Integration Joint Board for the year 2018/19 and to detail the methods of delivering the appropriate assurances required as part of the overall governance and risk management processes.

Members were informed that both parent bodies have Internal Audit Plans that sit separately from the IJB's Internal Audit Plan. The IJB's assurances sit at a strategic level and do not delve into operational assurances for either parent body.

JW stated that staffing issues within the Internal Audit department have presented a challenge. Different ways of working have been looked at in order to progress the key Audits. Currently there are 3 areas ready to report on and the team are identifying the other areas that require looking into and reporting on.

Key Audits that will be reported back through IJB A&R include:

- Delegated Authorities
- Governance and Reporting

JW advised that planning is underway for the 2019/20 Audit Plan. JW requested that she be in attendance for the Risk Workshops for the IJB in order to include any outcomes into the 2019/20 Audit Plan.

IC highlighted that the report is very health focussed and wondered if the Local Authority have provided enough resource and input into the IJBs Audit Plan. JW advised that the Local Authority have already approved their 2019/20 Audit Plan and their Audit Lead has now dedicated Audit Days to work on IJB Audits, these days were not available this year due to timings of

appointments for the IJB. The workaround for the current year is that the Local Authority will update JW on Council Audit issues that should be reported through the IJB's Audit Plan for 2019/20.

JW highlighted that the recruitment and retention issues have been picked up by the NHS and will feature in an Audit – should there be any Council input necessary on this subject, this will be reported through the IJB.

**Decision(s):**

**IJB Audit & Risk Committee:**

- **Noted and supported this update on progress against the Internal Audit plan for 2018/19 and early update on proposed audit resourcing for the 2019/20 audit plan.**

**8. OUTSTANDING AUDIT ACTIONS UPDATE**

This report provides an update on progress of implementation of a range of improvement actions identified by internal audit during a 2017 review of governance arrangements as commissioned by the IJB during its initial years of operation.

KL highlighted that she was asked to bring back an update on the outstanding audit actions for the IJB – these have been reduced to 2 outstanding actions, down from 6 as reported at the previous meeting.

Members were informed that the Governance Arrangements Audit will be reported on at the IJB in April 2019. A deadline extension has been requested until the end of April 2019 to reflect this.

**Decision(s):**

**IJB Audit & Risk Committee:**

- **Discussed and noted the Outstanding Audit Actions Update and the updates provided.**

**9. EXTERNAL AUDITORS PROGRESS REPORT**

KL advised that Joanne Brown was not available to attend the meeting, but highlighted that work is ongoing around preparation on the Year End processes and Annual Accounts.

Members were informed that the External Auditors met with Gavin Stevenson, Jeff Ace and Julie White to gauge if there are any other processes that the 3 bodies require support with. KL to get clarity from Joanne Brown on the outcomes from this meeting.

**Action: KL**

KL highlighted that the October IJB date was brought forward to September due to the requirement for the Annual Accounts to be signed off by 30th September 2019.

## **10. 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 advised that updated guidance from LASAAC has been released for this year's Annual Accounts.

Members discussed the high level timeline for the Annual Accounts process included in section 4.10 of the report. It was noted that the June meeting of the IJB Audit and Risk Committee will include the draft audited Accounts coming for approval prior to the beginning of the consultation period.

Members were informed that the IJB Audit and Risk Committee would formally ratify the Annual Accounts at the meeting on 9<sup>th</sup> September 2019 and recommend that the IJB approve them at their September meeting.

KL highlighted that the publication of the Code of Practice for Government Body accounting in the UK for 2018/19 has resulted in the application of two International Financial Reporting Standards. These standards require a change in the IJB's accounting policies for 2018/19. The IJB Audit & Risk Committee is asked to approve these changes.

JM stated that Data Sharing is mentioned in the Audit Scotland advice appended to this paper – she believes that it is imperative that this Committee keeps up the monitoring on the Data Sharing work.

Committee Members raised a query on IJB reserves that had been discussed at Full Council, there was mention that the IJB had reserves well in excess of the Local Authority and Health Board. KL advised Members that the IJB only held earmarked reserves. KL highlighted to Members that she had been invited to attend Social Work Committee to discuss IJB Finances.

### **Decision(s):**

#### **IJB Audit & Risk Committee:**

- **Noted the Chief Finance Officer Quarterly Report and the updates provided.**
- **Approved the changes to the accounting policies as set out in paragraph 4.11**

## 11. AOB

Members requested that the time of the next meeting could be brought forward to 1.00pm, noting that this was being held in the Local Authority's Garroch Business Park facility in order to comply with an earlier request from Committee Members that the venue is not always within the Health Board's premises. KM to check with HG whether timings can be amended to 1.00pm.

**Action: KM/HG**

It was noted that there is a vacancy on the IJB Audit and Risk Committee, the Standing Orders state that there should be 4 Voting Members sitting on the Committee - currently there are 3. IJB Audit and Risk Committee agreed that this would be raised at the next IJB to seek nominations for a 4th Voting Member.

**Action: IC/HG**

## 12. DATE OF NEXT MEETING

The next meeting will be held on Monday 24<sup>th</sup> June 2019 at 2pm - venue to be confirmed.