



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
24th June 2019**

For Approval

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit and Risk Committee meeting held on 24th June 2019 at 1pm in Seminar Room 1, Education Centre, DGRI

Present:	Ian Carruthers	(IC)	Chair - Voting Member
	Laura Douglas	(LD)	Vice Chair – Voting Member
	Jane Maitland	(JM)	Voting Member
	Katy Lewis	(KL)	Chief Finance Officer
	Ann Farrell	(AF)	Staff Side Representative
	Julie Watters	(JWa)	Chief Internal Auditor
In Attendance:	Heather Collington	(HC)	Head of Adult Social Work Services
	Richard Fox	(RF)	Finance Officer Audit, D&G Council
	Graham Gault	(GG)	Head of Information Management and Technology
	Kevin Geraghty	(KG)	Chief Internal Auditor, D&G Council
	Angelo Gustinelli	(AG)	Public Sector Assurance
	Stephen Hare	(SH)	Employee Director
	Stella MacPherson	(SMcP)	Service Users Representative
	Amber Murray	(AM)	PA to Julie White, Chief Officer
	Maureen Stevenson	(MS)	Head of Clinical Governance - Development and Risk Management
	Janet Sutton	(JS)	Finance Officer Services, D&G Council
	Alison Warrick	(AW)	Governance Officer
	Julie White	(JW)	Chief Officer

1. APOLOGIES FOR ABSENCE

Apologies were received from Ananda Allan, Lillian Cringles, Andy Ferguson, Penny Halliday and Ros Surtees.

2. DECLARATION(S) OF INTEREST

No declarations of interest were received.

3. MINUTES OF THE PREVIOUS MEETING OF 11th MARCH 2019

These were agreed as an accurate record.

4. ACTION LIST

AW will ensure that all actions are completed and updated.

AG highlighted the External Auditors Draft plan is now published on the Audit Scotland Website.

5. EXTERNAL AUDIT PROGRESS UPDATE REPORT

AG attended and provided a verbal update, the Annual External Auditors Report will come to the September Committee meeting, he highlighted that their aim is to finalise and complete the field work by the end of July 2019. There is a more joined up approach to be reviewed regarding the development of the Annual Report across the Partner organisations.

KL confirmed that the approach from the External Auditors and that the same auditors do the accounts for the NHS, Council and IJB enables the development of the accounts to be more straightforward going forward. A wider scope perspective will be fed back from Joanne Brown.

The auditors will review our partnerships as a starting point for their work. JW will share this Self Assessment with AG.

13:16 Jane Maitland arrived.

6. DRAFT INTERNAL AUDIT PLAN 2019 /2020

JWa highlighted this report outlines the Internal Audit Plan for the Integration Joint Board for 2019/20. A full range of meetings has not yet been held to develop the scope of the joint audit work planned for 2019/20.

Audit assurances to the IJB are not delivered in isolation and the internal audit functions of both the NHS and Council deliver assurances to their own organisations that should also be considered by the IJB where relevant. The Chief Internal Auditor for the IJB will ensure that this coordination of reporting on assurances is undertaken.

JWa confirmed that the detailed plan which was in the report confirms that the Joint Audit Assurance days are 40. These are all pieces of work which will continue to report through this committee. AG mentioned this is a great direction of travel for the Audit Plans.

KL asked for herself and JW to be involved in this piece of work.

JWa asked for a Governance update to come regularly to committee. JM asked around the risk strategy, will this be completed on time, this will link in with the governance paper. JW mentioned the self assessment highlights that review of risks falls within this document, some more dedicated support from both parties are required.

LD asked for an update to be brought back to the next committee.

Decision(s):

IJB Audit & Risk Committee:

- **Approved the Internal Audit Plan for 2019/20 and to consider the process for receiving assurances on relevant audit work undertaken.**

7. RISK MANAGEMENT QUARTERLY PROGRESS REPORT

KL welcomed both the Risk Managers from the council.

MS highlighted this report presented provides an update on risk management activity for the NHS, with the Annual Risk Management Report appended to this paper. The preference would be to have a Joint Risk Management report for the partnership so that we are comfortable of the level of assurance.

The purpose of the report is to:

- Summarise the key activities and achievements relating to risk management undertaken between 1st April 2018 and 31st March 2019
- Highlight the progress in the ongoing development of our risk management arrangements
- Outline the risk management objectives for the coming year

LD highlighted this was brought last year and was also discussed at NHS Audit and Risk Committee, risk management work from this paper is in relation of adverse events. LD and MS will pick up a conversation around this.

KG mentioned within the Council Policy they are not in the position to give that assurance, Internal Audit in the council are a support for risk management. Risks are managed on a day to day basis. RF is the Risk Manager of the council, the council are a little less defined within the roles around risk. Risks within the council are on a shared site for all colleagues to view, there are various different training resources.

AG highlighted that external auditors are very different to internal auditors, external auditors would look for the significant financial risks.

JW highlighted that we need to review what resource and capacity is required for the IJB to assure itself in relation to risk. The difference in understanding across the parties needs to be developed and we need to be in a different place by next year in terms of reporting.

Decision(s):

IJB Audit & Risk Committee:

- **Discussed and noted the NHS Risk Management Annual Report, as attached in Appendix 1.**
- **Discussed and noted the overall update on risk management arrangements and the scheduled risk workshop.**

8. IJB DRAFT GOVERNANCE STATEMENT AND ASSURANCE PROCESSES

KL presented the paper which updated the Integration Joint Board Audit and Risk Committee on the Draft Governance Statement and Assurance Processes for 2018/19.

A further update on this will come to the September committee, JW is doing further work on how she receives her assurances, and there were a number of weaknesses highlighted last year in the processes and outcomes. The assurance map is being worked on and will confirm what assurances and who is responsible, this will be shared at a future date.

Annual Governance report will be brought back in September.

Decision(s):

IJB Audit & Risk Committee:

- Reviewed the IJB Audit and Risk Committee Draft Governance Statement and Assurance Processes for 2018/19.

9. IJB DRAFT ANNUAL REPORT & ACCOUNTS 2018 / 19

KL asked for this report on the draft annual accounts for the Integration Joint Board for the 2018/19 financial year to be approved, this was drafted by Janet Sutton from Dumfries and Galloway Finance Team and KL thanked Janet for her work on the accounts. We have delegated authority as a committee to sign these accounts off, these accounts then become public.

LD mentioned around page 8 on the report in the section on performance, can there be a small explanation on why this is not applicable, JW confirmed this was more around not available. This will be updated in the current version of the accounts.

Decision(s):

IJB Audit & Risk Committee:

- Approved the Integration Joint Board's unaudited Annual Accounts for the financial year ended 31st March 2019 which will be submitted to the external auditors for review and is subject to public consultation.

10. AUDIT SCOTLAND REPORT REGISTER

KL confirmed 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 Integration Joint Board require to be assured that all reports being issued from Audit Scotland are being identified, disseminated, reviewed and implemented where required.

Decision(s):

IJB Audit & Risk Committee:

- Discussed and noted the Audit Scotland Reports register, noting that no new reports have been received since previously presented.

11. PRIMARY CARE TRANSFORMATION BOARD RISK REGISTER

KL mentioned that Kerry Willacy drafted this report which outlines the content of the Risk Register for the Primary Care Transformation Programme Board. The IJB Audit and Risk Committee are asked to note the content of this risk register.

Decision(s):

IJB Audit & Risk Committee:

- **Noted the content of the Primary Care Transformation Board Risk Register.**

12. INFORMATION ASSURANCE / INFORMATION SHARING UPDATE

GG explained that this paper has been compiled to provide the IJB Audit and Risk Committee an update on the progress made to support the joint working of NHS and Social Work staff in an attempt to share data in a safe and effective way supporting our service users.

The information sharing protocol has now been signed off, this will be shared with JW and Lorna Meahan for approval. Graham Abrines team has been asked to provide a list of the participants to roll this out across the service. There is an outstanding funding solution for a product to put it against the Mosaic data, this will be resolved. JW would like to see a timeline on the delivery of this. Through the data sharing board they will be asked to take lead on the development of the next data items.

HC confirmed the order could not have been placed with no capital funding. JW mentioned we are required to keep this on future agendas as a committee to review progress.

Decision(s):

IJB Audit & Risk Committee:

- **Noted progress on the practical work now proven to allow SW staff to share NHS Data.**
- **Noted progress in the signing of the Information Sharing Protocol, and recognise that Dumfries and Galloway Legal Team are the guardian of this work in terms of completion.**
- **Noted the intension, once the ISP is signed that Social Work Adult data will be matched and then Social Work data will be shared with NHS Staff completing the two-way data flows.**
- **Noted the fact that in order to share SW Date with NHS Staff through the Health and Social Care (H&SC) Portal, DGC have not yet secured funding or procurement approval to proceed.**

13. COMMITTEE ASSURANCE STATEMENT

KL mentioned this report sets out the details of the Standing Committee Assurance for the Audit and Risk Committee which forms one of the overall assurances to the Chief Officer and Chair of IJB. If anyone would like to add any comments this is the opportunity.

LD asked if the Chair will confirm and fill out there comments. Can this be populated around the committee.

Decision(s):

IJB Audit & Risk Committee:

- **Approved the Committee Assurance Statement, which demonstrates the overall assurance levels that can be given to the Chief Officer, as the Accountable Officer for the Integration Joint Board.**

14. AOCB

No AOCB was highlighted.

15. DATE OF NEXT MEETING

The next meeting will be held on Monday 9th September 2019 at 2pm - venue to be confirmed.