

Section 1 – Action List Audit and Risk Committee

Meeting Date	Agenda Item	Action	Person(s) Responsible	Target Date	Current Status/Action Taken	Date Completed
10/06/2021	5	External Audit Plan – Fraud – JB to include a line into the management response to question 8 of the auditor risk assessment in relation to national whistle blowing arrangements.	Joanne Brown		Emailed 07/07	
	6	Best Value – this is to be added to the Agenda Planner for June 2022 for an update as we await national guidance on this.	Alison Warrick		Added to the Agenda planner	
	7	Draft Unaudited Annual Accounts – The accounts will require to be amended once confirmation of additional payment to be confirmed by Scottish Government is received in light of the C19 pandemic. This will be reflected in the Minutes.	Katy Kerr		The update is provided in the accounts paper to Committee for 9 th September	Complete
	8	Internal Audit Plan – JWa will bring the final draft of the joint working protocol to the next A&R Committee in September JWa will ascertain the appropriateness of inviting LA Internal Auditors to discuss the LA Internal Audit Plan and process for 2021/22 to the next meeting.	Julie Watters	09/09/2021	Added to the Agenda Planner for the 9 th September 2021 Emailed 07/07	
	10	IJB Risk Register – AW to liaise with HC on wording around legislation for the Data Sharing risk and will discuss the Action Plan	Alison Warrick/ Heather Collington/	09/09/2021	Emailed 07/07	

		process following risks being approve with JWa	Julie Watters			
	11	Data Sharing Progress – GM to look into issues in email traffic from NHS to LA email	Graeme McIlorum		Emailed GMc 07/07	
11/03/2021	8	RISK MANAGEMENT QUARTERLY PROGRESS REPORT - Share a draft of the Risk Register prior to the next meeting and aim to bring a draft of the Risk Strategy including a Risk Appetite statement to the June meeting	Katy Kerr/Alison Warrick	09/09/2021	The Risk Register is on the Agenda, however the Risk Strategy including the Risk Appetite statement will be presented to the September meeting 07/07 On the Agenda planner for the September meeting	
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	10	UPDATE TERMS OF REFERENCE – MEMBERSHIP AW to share the Scheme of Delegation with Members for review. AW to amend the Frontis to show those Members whose attendance is required. AW to send LB links to documentation pertaining to this Committee	Alison Warrick	09/09/2021	Ongoing - The Scheme of Delegation has been shared with all Members of the IJB, comments are due back by the 30 th June to allow for fuller review in line with other strategic documentation. An update to the Frontis has been undertaken following confirmation of membership at the IJB on the 27 th May 2021. LB is now in receipt of relevant documentation. Update 08/06/2021 this has been postponed to the September meeting to allow for appropriate scrutiny of Scheme of Delegation.	
COMPLETED ACTIONS						

Meeting Date	Agenda Item	Action	Person(s) Responsible	Target Date	Current Status/Action Taken	Date Completed
11/03/2021	5	EXTERNAL AUDIT PLAN 2020/21 UPDATE - JW, KK and JB to discuss a key piece of work around Best Value prior to the next A&R Committee, Best Value to be added to the Agenda of the next meeting.	JW/KK/JB	10/06/2021	Meeting took place on 14 th April with KK agreeing to bring an update back to Committee. On agenda for 10 th June 2021 meeting.	10 June 2021
	6	CHIEF INTERNAL AUDITOR QUARTERLY UPDATE - JWa is looking at the combined assurances that are required from Health and Council and to assist with clarity around how these can be coordinated is creating a Memorandum of Understanding (MoU) between the respective audit functions and will bring this back to the June meeting	Julie Watters	10/06/2021	Joint assurance remains a focus moving forward, and the process is being further enhanced with the creation of a Joint Working protocol to cover all aspects of internal audit work within the IJB and the H&SC Partnership. This is being taken to the IJB Audit and Risk Committee meeting in June 2021 The MoU has been reworded as draft joint working protocol.	10/06/2021
11/03/2021	9	INFORMATION SHARING UPDATE - Information Sharing Group to report in to this Committee. Escalate this to the IJB and the Chief Executives via the Chief Officers Group. GG/GM attend COG and update the presentation prior to this. Update at the next meeting	Katy Kerr/ Graham Gault/ Marsali Caig/Julie White	10/06/2021	<ol style="list-style-type: none"> Following escalation of the issue to the Chief Officers Group as per the IJB Audit and Risk Committee, the following actions were agreed (specific minutes not available yet): <ul style="list-style-type: none"> An independent party will be appointed to provide an assessment of the current position regarding the existing aims of the Data 	10/06/2021

					<p>Sharing work programme.</p> <ul style="list-style-type: none">• A report will be compiled to rescope and provide an action plan for the delivery of this work. Recognition of how the new emerging requirements of Home Teams should be included in this new work programme.• Level 4 data sharing should be aimed for and a plan to achieve it should be developed.• Operational staff from both the NHS and the Social Care organisations will be invited to join the Data Sharing Board.• A new Chair will be appointed to the Data Sharing Board to ensure the revised programme is progressed at pace.• Existing work planned should continue while the new arrangements/work programme is detailed.	
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Section 2 - Agenda Matrix

Substantive Items	09/09/2021	09/12/2021	March 2022	June 2022
	<ul style="list-style-type: none"> • Apologies • Declarations of Interest • Minute of the Previous Meeting • Action List and Rolling Agenda Matrix • AOCB • Date of Next Meeting 	<ul style="list-style-type: none"> • Apologies • Declarations of Interest • Minute of the Previous Meeting • Action List and Rolling Agenda Matrix • AOCB • Date of Next Meeting 	<ul style="list-style-type: none"> • Apologies • Declarations of Interest • Minute of the Previous Meeting • Action List and Rolling Agenda Matrix • AOCB • Date of Next Meeting 	<ul style="list-style-type: none"> • Apologies • Declarations of Interest • Minute of the Previous Meeting • Action List and Rolling Agenda Matrix • AOCB • Date of Next Meeting
Annual Accounts	<ul style="list-style-type: none"> • Final Draft Annual Accounts 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • Draft Annual Report and Accounts
External Audit	<ul style="list-style-type: none"> • Annual Report 	<ul style="list-style-type: none"> • Progress Update Report • 	<ul style="list-style-type: none"> • External Audit Plan 	<ul style="list-style-type: none"> • Progress Update Report
Internal Audit	<ul style="list-style-type: none"> • Internal Audit Annual R Audit Activity Report inc Limited Assurance Audit Update Report • Joint Working Protocol 	<ul style="list-style-type: none"> • Audit Activity Report 	<ul style="list-style-type: none"> • Audit Activity Report • 	<ul style="list-style-type: none"> • Audit Activity Report •
Risk	<ul style="list-style-type: none"> • Risk Management Quarterly Progress Report • Risk Strategy and Risk Appetite 	<ul style="list-style-type: none"> • Risk Management Quarterly Progress Report 	<ul style="list-style-type: none"> • Risk Management Quarterly Progress Report 	<ul style="list-style-type: none"> • Risk Management Quarterly Progress Report
Information	<ul style="list-style-type: none"> • Information 	<ul style="list-style-type: none"> • Information 	<ul style="list-style-type: none"> • Information 	<ul style="list-style-type: none"> • Information

Assurance/Information Sharing	Sharing Progress Report	Sharing Progress Report	Sharing Progress Report	Sharing Progress Report
Financial Reporting	<ul style="list-style-type: none"> • Quarterly Update from Chief Finance Officer 	<ul style="list-style-type: none"> • Quarterly Update from Chief Finance Officer 	<ul style="list-style-type: none"> • Quarterly Update from Chief Finance Officer 	<ul style="list-style-type: none"> • Quarterly Update from Chief Finance Officer • Best Value
Other	<ul style="list-style-type: none"> • ?Local Authority Internal Audit Plan – Kevin Garrity 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> •