



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
9th September 2019**

For Approval

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit and Risk Committee meeting held on 9th September 2019 at 2pm in Meeting Room 1, Mountainhall Treatment Centre

Present:	Ian Carruthers	(IC)	Chair - Voting Member
	Laura Douglas	(LD)	Vice Chair – Voting Member
	Ann Farrell	(AF)	Staff Side Representative
	Joanne Brown	(JB)	External Auditor – Grant Thornton
	Jane Maitland	(JM)	Voting Member
	Katy Lewis	(KL)	Chief Finance Officer
	Julie Watters	(JWa)	Chief Internal Auditor
	Julie White	(JW)	Chief Officer
In Attendance:	Sean Barrett	(SB)	Finance and Information Manager, Dumfries and Galloway Council
	Heather Collington	(HC)	Head of Adult Social Work Services
	Graham Gault	(GG)	General Manager for IT Services
	Amber Murray	(AM)	PA to Julie White, Chief Officer

1. APOLOGIES FOR ABSENCE

There were no apologies received.

IC and members have asked that only member's apologies are noted.

2. DECLARATION(S) OF INTEREST

No declarations of interest were received.

3. MINUTES OF THE PREVIOUS MEETING OF 24th June 2019

These were agreed and amended as an accurate record.

KL highlighted that Item 12 the 4th recommendation we now have the funding in place, at the previous meeting we didn't.

4. ACTION LIST

KL highlighted all the actions and all updates will go to Alison Warrick.

JW mentioned the workshop on the 18th September will allow the Integration Governance plan to be set in stone.

KL will ask Hannah Green to share the final signed committee assurance statement for everyone's information.

Action: KL

KL mentioned the Alison Warrick as Governance Officer will work on the corporate risks, there will be a more detailed up date at a future meeting. KL mentioned there is going to be a sub group out with this meeting to review and share all the thinking around risks. KL will follow up with Alison Warrick where she is with the date for this sub group.

JW confirmed she has set a target for our Information Sharing arrangements to be in place by next March 2020, this is part of our Priorities within the Health and Social Care Senior Management Team.

5. EXTERNAL AUDIT ANNUAL REPORT

JB highlighted that this paper provides the Integration Joint Board with an update on the work of the External Auditors, this is a draft report for this committee, A draft set of accounts was issued to the auditors following the Audit and Risk Committee on the 30th June 2019, to enable the auditors to commence the

external audit work during July/August. JB confirmed that they were issuing an unmodified audit opinion.

IC asked for the sub committee's to be changed to just read committees, also asked was if the committee could help for all the arrangements, JB confirmed the auditors are comfortable with this change.

JW highlighted the focus for next will be on the SAM programme, this should tie both the Strategic Commissioning agendas together. KL mentioned as a committee we may need to think through whether we use some of the internal audit capacity to support an audit on SAM.

JB mentioned the 2019/20 aim is to bring the 3 public bodies External Audits together closer.

JM asked around our communications are we at a level where we have wanted to be around communications are we using our new website at the full capacity.

KL confirmed she will update all the actions highlighted at the end of this report through the regular reports to committee.

JW highlighted it is up to the IJB to confirm what corporate support they would like from both parties, then the discussion could be had to see what this should look like. JW is picking this up with both the Chief Executives.

JM asked if the reserves position could be included into this report, KL confirmed this is in the report using the language of "Ring fenced Reserves". JB will look into how she describes her reserves. JW has asked for something to be highlighted on the covering paper of the IJB Paper to confirm the detail of reserves.

Decision(s):

IJB Audit & Risk Committee:

- **Scrutinised and reviewed the attached report for Dumfries and Galloway Integration Joint Board/External Audit Annual Report to those charged with Governance and the Controller of Audit for the 2018/19 financial year.**

6. INTERNAL AUDIT ANNUAL REPORT

JWa highlighted the purpose of this report is to update Audit and Risk Committee on the assurances gained from delivery of the Internal Audit Plan for the Integration Joint Board for the year 2018/19. We do have adequate controls in place, this is based on an overall review of the work that has been undertaken. JWa has had conversations with the Local Authority Chief Internal Auditor and they are comfortable with the assurances.

The diagram on 4.5 is highlighting what assurances are given. All the areas highlighted are being worked through and updates will be brought back to these committee meetings.

JW mentioned the Governance arrangements there has been a number of wider issues nationally. The challenge for completing this was the understanding and the capacity. There has been a lot of work been completed on the actions but there has also been a number of ongoing challenges.

The relationship between JWa team and the GMs has been very supportive to allow the audit actions to be completed.

Each action will be brought as an update at the IJB Audit and Risk Committee.

Decision(s):

IJB Audit & Risk Committee:

- **Noted the contents of this report which summarises the work undertaken by Internal Audit during 2018/19 and provides the Chief Internal Auditor's opinion on the internal control environment within the Integration Joint Board for the financial year 2018/19**

7. INFORMATION SHARING

GG confirmed the OOHs team within Annan and Dumfries is now up and running and online with PORTAL.

HC lead a workshop on the 3rd September, well attended and lots of key developments requested to improve usability:

- Inpatient Flag would be useful.
- Discharge Medication information would be useful.
- Ward information would be useful.
- EDD would be useful.
- Review of all Document categories completed with a view to sharing going forward the relevant ones.

JW highlighted the deliverability for this is March 2020, GG confirmed himself and Graeme McIlorum will deliver this, as information sharing is a huge concern with a majority of staff.

A section in next year's Annual Report to include the information sharing, JW mentioned this committee should include a report after March 2020 to highlight the confirmation that this is now working and what we have delivered and to include the possible impact caused. A full updated report for June 2020 to highlight all the impacts.

KL asked if the full council report which is due in December can it come to this committee meeting in December.

Action: KL

GG confirmed Greater Glasgow had this is completed 6months ahead of us, but they are sat at Level 1 for the time being and still need to undertake further work.

Decision(s):

IJB Audit & Risk Committee:

- **Discussed and noted the update on the Information Sharing**

8. FINAL IJB GOVERNANCE STATEMENT 2018/19

KL highlighted the report included had a date typo, this paper presents to the IJB Audit and Risk Committee the Governance Statement and Assurance Processes for 2018/19.

JW highlighted they included both the positive and negative issues are included in the Governance statement.

Clinical and Care Governance and an Audit and Risk Committee have been established should be the first paragraph, can the four paragraphs be reviewed around the presentation.

Decision(s):

IJB Audit & Risk Committee:

- **Scrutinised and reviewed the Final IJB Governance Statement and Assurance Processes for 2018/19**

9. ANNUAL ACCOUNTS 2018/19

KL mentioned any amendments to the Governance Statement will be reflected within this report the report also presents the annual accounts for the IJB for the 2018/19 financial year, the IJB will approve these.

It was requested that the language around reserves and allocations are consistently used through the full document.

LD mentioned page 12 the membership for Nick Morris, the date is incorrect, LD also asked around the committee assurances. KL highlighted the Draft

Committee assurances were published, KL confirmed they are now final and these will be shared.

In future there is a request to have an IJB Annual Report to be presented to Committee, not just the NHS one.

Action IC

Decision(s):

IJB Audit & Risk Committee:

- **Approved the submission of the Integration Joint Board's audited Annual Accounts for the financial year ended 31st March 2019 to the Integration Joint Board at its meeting on 25th September 2019 for final approval**

10. AOCB

IC mentioned around scrutinising certain pieces of work.

LD confirmed this seems to be a helpful process, and allows members to get their heads around items. JM echoed LDs point.

KL highlighted there would be a requirement for a level of understanding as this is not something the NHS has completed. JW mentioned she is aware of some of the Councils process for Scrutiny, she highlighted the IJB role is a Strategic Commissioning Body not a Scrutiny Board.

JB confirmed she would not recommend the Board to take on more subcommittees, but she agrees for the Audit and Risk to committee to have the roles to review further into the risks. KL mentioned the internal audit days could be used to look further into risks. IC will look further into this request.

11. DATE OF NEXT MEETING

The next meeting will be held on Monday 16th December 2019 at 2pm - Meeting Room 1, Cargen Tower, Garroch Business Park, Dumfries, DG2 8PN