



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 March 2020**

For Approval

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit and Risk Committee meeting held on 9th March 2020 at 2pm in Meeting Room 1, Cargen Towers, Garroch Business Park, Dumfries, DG2 8PN

Present:	Ian Carruthers	(IC)	Chair - Voting Member
	Laura Douglas	(LD)	Vice Chair – Voting Member
	Ann Farrell	(AF)	Staff Side Representative
	Melissa Gunn	(MG)	Voting Member
	Katy Lewis	(KL)	Chief Finance Officer
In Attendance:	Graham Gault	(GG)	General Manager for IM&T,NHS Dumfries and Galloway
	Kevin Geraghty	(KG)	Chief Internal Auditor, Dumfries and Galloway Council
	Graeme Mcilorum	(GM)	Business and Technology Solutions Manager, Dumfries and Galloway Council
	Amber Murray	(AM)	PA to Julie White, Chief Officer / Chief Operating Officer
	Julie Watters	(JW)	Chief Internal Auditor – NHS Dumfries and Galloway

1. APOLOGIES FOR ABSENCE

Apologies were received from Joanne Brown, Jane Maitland and Julie White

2. DECLARATION(S) OF INTEREST

No declarations of interest were received.

3. MINUTES OF THE PREVIOUS MEETING OF 16th December 2019

These minutes were agreed as an accurate record.

4. ACTION LIST

All actions were agreed and updated accordingly.

5. FINAL EXTERNAL AUDIT PLAN 2019/20

KL confirmed this paper provides the Integration Joint Board Audit and Risk Committee with an update on the work of the External Auditors. Which includes the fee's that we pay for the External Audit work, which have been directed by Audit Scotland and it is the same value for each Partnership.

Audit planning for this year has begun, KL and JB have met and she will be at the next IJB Audit and Risk Meeting when the draft accounts will be presented.

14:07 – KG arrived

Decision(s):

IJB Audit & Risk Committee:

- **Noted the attached Final External Audit Plan (Appendix 1) for Dumfries and Galloway Integration Joint Board for the financial year ending 31 March 2020.**

6. CHIEF INTERNAL AUDITOR QUARTERLY UPDATE MARCH 2020

JW highlighted the purpose of this 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 2019/20 and to highlight the assurances received from NHS Dumfries and Galloway and Dumfries and Galloway Council as part of the IJB's overall governance and risk management processes.

Table 1 of the report highlights the assurances for the in year. Limited assurance reports will be highlighted to this committee if they are relevant to the IJB, which there is nothing at the moment.

14:12pm LD arrived.

JWa has met with KG to scope the piece of work around the Audit Plan 2019/20 and the scope of this audit relates to Delayed Discharges which is felt to be one of the highest risk areas at present.

KL mentioned there is an increased risk around the impact of COVID19 which may cause a delay in the delivery of this plan.

JWa and KG confirmed they are not part of the current situation around the concern for COVID19. KL highlighted at this stage there is a lot of different planning work being undertaken and everyone eventually may require being involved.

IC asked in terms of table 2 around audit action progress by Directorate why a number of these are overdue. LD mentioned there has been a big piece of work completed to decrease these figures and they are monitored in detail through the NHS Audit and Risk group. Significant progress has been made to reduce the number of outstanding actions over the past year.

LD mentioned the next committee JW is going to review and revise what the higher level actions are to understand the risk.

Decision(s):

IJB Audit & Risk Committee:

- **Noted this update on progress against the Internal audit plan for 2019/20**

7. QUARTERLY UPDATE REPORT FROM CHIEF FINANCE OFFICER

KL mentioned the report brings together a number of pieces of work together and 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.

Annual Accounts Planning is also highlighted within the report, KL committed to bring an update around the actions from the external audit action plan from last year. Glasgow City Partnership have collated the reports / themes from external audit in other partnerships, this is set out within the report.

Decision(s):

IJB Audit & Risk Committee:

- **Noted the Quarterly Update Report from the Chief Finance Officer and the updates provided**

8. RISK MANAGEMENT QUARTERLY PROGRESS REPORT

KL mentioned this report provides an update on Risk Management Activity for the Integration Joint Board and the Health and Social Care Partnership over the

last quarter. There was discussion around the IJB Corporate Risk at the Partnership Exec Group to agree any further Corporate IJB risks.

Work is underway to review the IJB Strategic Risks, including scoring and the addition of the new risks, with an update back to Committee in June and then to the IJB for review.

Tactical and operational arrangements have been reviewed and discussed through the Tactical Health Safety & Risk Group chaired by Nicole Hamlet, Deputy Chief Officer.

KL confirmed another update will be brought back to the June IJB Audit and Risk Committee.

LD asked around the themes in the Audit Scotland report, these are required to be linked with the risks and KL agreed to action this.

Decision(s):

IJB Audit & Risk Committee:

- **Noted the progress on the risk management improvement work to end February 2020**
- **Noted the review of the IJB corporate risks**
- **Updated report to come to the next meeting**

9. PRIMARY CARE TRANSFORMATION PROGRAMME BOARD RISK REGISTER

KL confirmed this report outlines the content of the Risk Register for the Primary Care Transformation Programme Board. This risk register went to the last Primary Care Transformation Programme Board on the 26th February 2020.

IC asked around the financial risks for this programme over the last 3 years there has been a large amount of monies provided for the contract. We are required to use these resources as appropriate as we can.

LD raised a query around Risk 12 and the way it is described in the final column and whether the information for this was complete. KL agreed to pick this up with the Project Lead and feedback.

Decision(s):

IJB Audit & Risk Committee:

- **Noted the content of the Primary Care Transformation Board Risk Register**
- **Noted the two new risks which have been added to the Risk Register**

- **Noted that any additional risks identified have been included in the Risk Registers by the Primary Care Transformation Programme Manager**
- **Noted that a further update is planned to be submitted to the next Programme Board meeting on the 29th April 2020.**

10. DATA SHARING (RISK UPDATE)

GG mentioned this paper presents the newly compiled Risk Register for Data Sharing between NHS and Dumfries and Galloway Council as key operating bodies of the IJB. The paper is the first attempt and will mature as the level of Data Sharing increases over time. A formality has been introduced to the Data Sharing meeting to ensure issues are progressed.

The issues have been escalated to Julie White and Lorna Meahan and progress has been made over the last few months with a manual workaround now introduced in advance of the systematic processes in place by May 2020

IC asked what the current blockage is for this piece of work, GG and GM mentioned this progress has been a slow process as they are now waiting on Social Work confirming their data is uploaded and is correct. By May 2020 this system will be slicker and will be completed as real time. The Committee agreed to receive a further report at its June meeting.

Decision(s):

IJB Audit & Risk Committee:

- **Noted the risks identified and to sign off the listed risks as acceptable in terms of Management approach at this early stage of the initiative**
- **Updated report to come to the next IJB Audit and Risk Committee**

11. AOCB

IC highlighted at the IJB which was held on the 6th December 2019 that there was a minute agreement to undertake a scrutiny review of the risks. IC confirmed that the Chief Executive of the Council could resource this. LD and other members of the committee asked to see this plan on paper and to discuss the risks. (Extract from minute included below for reference).

Extracts from IJB meeting 6 December 2019

- IC asked if the Audit and Risk Committee terms of reference could make specific reference to the Risk Register and the role of the Audit and Risk Committee in order to gain assurances around the effectiveness of the risk register and potential threats directly relating to the implementation of Dumfries and Galloway IJB Strategic Plan.

Members agreed for a plan to be brought back to the June committee that outlines the resource.

12. DATE OF NEXT MEETING

The next meeting will be held on Monday 8th June 2020 at 2:30pm - Cargen Tower, Garroch Business Park, Dumfries, DG2 8PN

(Due to CoVID, this meeting did not take place)

A&R APPROVED