



Dumfries and Galloway  
Integration Joint Board  
Audit, Risk and Governance Committee

**Minute of Dumfries and Galloway  
Integration Joint Board Audit, Risk and  
Governance Committee meeting held on  
28 June 2024**

*For Approval*

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit, Risk and Governance Committee meeting held on 22<sup>nd</sup> February 2024 at 2.00pm via TEAMS

<b>Present:</b>	Kim Dams	<b>(KDa)</b>	<b>Chair</b> - Voting Member
	Greg Black	<b>(GB)</b>	Voting Member
	Ian Carruthers	<b>(IC)</b>	<b>Vice Chair</b> – Voting Member
	Chrissie Hill	<b>(CH)</b>	Voting Member
	Katy Kerr	<b>(KK)</b>	Chief Finance Officer
	Julie Watters	<b>(JW)</b>	Chief Internal Auditor
<b>In Attendance:</b>	Greycy Bell	<b>(GBe)</b>	Deputy Medical Director
	Kirsty Bell	<b>(KB)</b>	Programme Manager
	Nicole Hamlet	<b>(NH)</b>	Deputy Chief Officer
	Gordon McAllister	<b>(GM)</b>	Senior Auditor (Audit Scotland)

**Observing:**

**1. APOLOGIES FOR ABSENCE**

Apologies were received from Ken Donaldson

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

No declarations of interest were received.

**3. MINUTES OF THE PREVIOUS MEETING OF 22<sup>ND</sup> FEBRUARY 2024**

IC noted that the two members noted as observing at the previous meeting were attending as substitute voting members. The minutes were agreed as an accurate record for sign off, pending the correction of the attendance list to illustrate the substitute voting members present.

#### 4. ACTION LIST AND AGENDA PLANNER

##### Actions List

Members noted the updates provided.

#### 5. EXTERNAL AUDIT UPDATE

GM introduced himself to the Committee, noting that he has taken the position as Lead Auditor for Dumfries and Galloway Council and IJB audits. GM provided a brief overview of the work ongoing with the IJB Accounts for 2023/24, highlighting the audit work will be in full swing over the summer months. GM noted that External Audit currently do not foresee any issues with the audit.

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

##### **IJB Audit, Risk and Governance Committee**

- **Noted the updates provided**

#### 6. DRAFT ANNUAL REPORT AND ACCOUNTS 2023/24

KK presented the Draft Annual Report and Accounts for 2023/24, noting the following key points:

- The original timing of this Committee proved too difficult to meet the deadline for pulling together the accounts, due to conflicting timescales with the NHS Annual Accounts process. KK requested that the Committee be scheduled for around the end of June 2025.

**Action: KB**

- The Annual Accounts for the IJB reflect the financial position which will be presented to the IJB at its meeting of the Finance, Performance and Quality Committee on 9th July 2024, reflecting a breakeven outturn position for the 2023/24 financial year after additional resource of £20.018m from the NHS Board to reflect overspends in the delegated budget.
- The Annual Accounts are subject to external audit review during July/August 2024, along with being subject to public consultation during July 2024 – though these cannot be published until after the UK General Election on 4<sup>th</sup> July 2024.
- The IJB Accounts will be presented for final sign off at the IJB meeting on 24<sup>th</sup> September 2024, following final scrutiny by IJB Audit, Risk and Governance Committee.
- GB noted that the section on inspection of care homes notes the grades given as part of each inspection, but does not contain a narrative around work ongoing to improve that grade. NH requested that a note be added in around the role of the Care Home Collaborative Group. KK noted that this would be added in.

**Action: KK**

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

## **IJB Audit, Risk and Governance Committee:**

- **Approved the unaudited Draft Annual Accounts for the financial year ending 31<sup>st</sup> March 2024 which will be submitted to the external auditors and are subject to public consultation.**

## **7. INTERNAL AUDIT QUARTERLY UPDATE**

JW presented this report, highlighting the following key points:

- The NHS Audit Plan was split into two 6-monthly plans for 2023/24, one presented to NHS Audit and Risk Committee in April 2023 and the other in October 2023.
- The Council's Audit Plan for 2023/24 was approved at the Audit, Risk and Scrutiny Committee in April 2023.
- At the time of this meeting, Audit Plans for 2024/25 have been approved by the NHS and Council Audit Committees. There is some allowance in both plans for joint audit work for the year, however the detail of what that work will be is still to be agreed.
- Within the NHS Internal Audit system, all audit recommendations and subsequent actions are monitored through the Audit and Risk Committee. Currently there are 112 actions, of which 80 (71.43%) are currently overdue. NHS Audit and Risk Committee has a clear view that reduction of the level of overdue actions must continue to be a priority.
- The Council has a process whereby all audits are followed up to committee 6 months after initially reported. This summarises the report and any progress on actions, with a recommendation on whether the report can be closed.
- The Chief Internal Auditor has been attending the revised IJB Committee meetings and reviewing papers and agendas in order to assist with Audit Planning beyond 2024/25.
- KDa noted that both Internal Audit teams have recently had external quality assessments and an update on these would be presented to the September Committee.
- IC queried the mechanism for raising concerns to the relevant authority around matters raised within internal audits. JW highlighted that she hasn't got specific examples to give, however fraud issues for example have a designated pathway of escalation, and there are processes within the Council and NHS for whistleblowing etc.

## **Decision(s):**

## **IJB Audit, Risk and Governance Committee:**

- **Noted the updates provided on progress against the Internal Audit work for 2023/24.**

## **8. GOVERNANCE UPDATE**

KB noted that this iteration of the Governance Update focusses on a suite of documents, asking that IJB ARG Committee review these prior to submission to the September meeting of the IJB.

The documents are:

- Standing Orders
- Complaints Handling Procedure
- Records Management Policy
- Expenses Procedure
- Code of Conduct
- Register of Members Interest
- Freedom of Information Policy
- Gifts and Hospitality Declaration Form
- Committee Terms of Reference

KB advised that, in November 2023, a review was undertaken of the IJBs policies and procedures and it was found that some were overdue for review (Standing Orders, Complaints Handling Procedure, Records Management Policy and Gifts and Hospitality). Based on this review, the following changes are proposed:

#### Standing Orders

- 2.7 Addition - If a member has not attended three consecutive meetings of the Integration Joint Board, and their absence was not due to illness, the IJB may remove the member from office by providing the member with one month's notice in writing.
- 2.8 Addition – A Member of the Integration Joint Board will be appointed for an initial period of 3 years, at the end of the term of office a member may be reappointed for a further term of office.
- 6.7 Amendment – Integration Joint Boards shall be held in public or be held in a manner which will allow people to attend (including virtually) or view the Board meeting.
- 11.4 Amendment – The Member (where an interest is disclosed under sub paragraph (1), the other members present at the meeting in question must decide whether the member declaring the interest is to be prohibited from taking part in discussion of or voting on the item of business. (I will not remain in the meeting nor participate in any way in those parts of meetings where they have declared an interest).

#### Complaints Handling Procedure

- There are no fundamental changes from the last iteration in 2021, with the exception that all sections have been brought together into one document.

#### Records Management Policy

- This was shared with the NHS D&G Information Governance Team, as the public records of the IJB are held on NHS D&G systems. An update on mandatory training has been included in Section 3 of the Policy.

#### Gifts and Hospitality

- The IJB does not require a Gifts and Hospitality Policy as these are covered within the Code of Conduct, however, following a review of other IJBs Corporate documents, and in discussion with the Director of Strategic Planning and Transformation, it was agreed that a Declaration Form for all members who are not covered by their constituent authorities should be designed and a Register be kept of all such declarations.

#### Code of Conduct

- Two minor revisions to replace Health and Social Care Senior Management Team with Health and Social Care Leadership Group, and the removal of the section which members were previously asked to sign. The Standards Commission of Scotland recently completed a review around declarations of interest, but no changes are required to their Model Code of Conduct at this time.

#### Register of Members Interest

- This requires review on an annual basis (or earlier if Members require to update their Register of Interest form). Members should be aware that they have a statutory obligation to complete an entry under the Ethical Standards in Public Life etc (Scotland) Act 2000. Any non-compliance will be reported to the Standards Commission of Scotland and to the constituent authority. At the time of this meeting, 5 members have not returned their declarations. This is seen by the Standards Commission of Scotland and is a breach of membership.

#### Freedom of Information Policy (FOI)

- This was changed in line with NHS Dumfries and Galloway's FOI Policy, as due to the low level of requests received, IJB FOIs are dealt with by the NHS FOI team.

KB highlighted that the Terms of Reference for each Committee have also been reviewed, with some slight changes made and the inclusion of Unpaid Carers Representative included in each Committee alongside the Service User Representative which was already noted. Work is progressing to appoint to both of these positions, and a membership update will be provided to the September IJB. The updated IJB Audit, Risk and Governance Committee Terms of Reference are included for approval prior to being presented to the IJB for final sign off.

GBe queried whether there are plans to have the IJB go back out into the community for it's meetings. KB noted that discussions are being held with the IJB Chair around this to identify ways of having the IJB meetings more publicly accessible.

KDa noted the recent email from Alison Warrick noting that she was moving away from her role as IJB Governance Officer, thanking her for the work that she has done to support the Committee to date.

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

## **IJB Audit, Risk and Governance Committee:**

- **Reviewed and recommended approval for the following documents to be submitted to the September meeting of the IJB:**
  - **Standing Orders**
  - **Complaints Handling Procedure**
  - **Records Management Policy**
  - **Expenses Procedure**
  - **Code of Conduct**
  - **Register of Members Interest**
  - **Freedom of Information Policy**
  - **Gifts and Hospitality Declaration Form**
  - **Committee Terms of Reference**

## **9. CHIEF FINANCE OFFICER UPDATE**

KK provided a brief update on her work as Chief Finance Officer, noting the following key points:

- Chief Finance Officers meet on a monthly basis, with recent discussions being around the work to clarify any new allocations coming through and working with Scottish Government to identify what funding could be baselined. The other topic of discussion for this forum has been the impact of potential pay uplifts as they come forward, and while nothing has been formally agreed, there is a plan for dealing with this.
- KK noted that at the most recent meeting of the IJB Chief Finance Officer network they had an update on the progress with the National Care Service and the work that's happening to progress it. As the consultation around this develops, KK agreed to plan an IJB workshop around this over the next few months, linking with KB and NH.

**Action: KK/KB/NH**

## **Decision(s):**

## **IJB Audit, Risk and Governance Committee:**

- **Noted the updates provided**

## **10. ANY OTHER BUSINESS (AOB)**

### NHS Cyber Attack Update

GB requested that the Committee consider what they expect to see in terms of a response to the Cyber Attack from the NHS. NHS Audit & Risk Committee are focussed on reviewing what has happened along with the response, recovery and long term consequences and suggested that this Committee take a similar view from a partnership perspective.

Committee agreed to hold an IJB workshop session on this matter further into the year.

**Action: KK/KB**

## **11. DATE OF NEXT MEETING**

The next meeting will be held on Tuesday 17<sup>th</sup> September 2024, from 10.00 am to 12.00 pm via Microsoft Teams