



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
19th December 2016**

For Approval

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit and Risk Committee meeting held on 19th December 2016 in the Dialogue Suite, Nithview

Present:	Andy Ferguson	Chair
	Jimmy Beattie	NHS Voting Member
	Ann Farrell	Local Authority Staff Representative
	Katy Lewis	Chief Finance Officer
	Julie Watters	Chief Internal Auditor – NHS
	Lindsay Robertson	External Auditor – Grant Thornton

In Attendance:	Kyle McKie	Admin Assistant
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1. APOLOGIES FOR ABSENCE

Apologies were noted from Grace Cardozo.

2. DECLARATION(S) OF INTEREST

None noted

3. MINUTES OF THE PREVIOUS MEETING

It was noted that the meeting wasn't quorate so the Committee was unable to officially approve the Minutes of the Previous Meeting as an accurate record. These were agreed as an accurate record by those present and will be presented at the next meeting for official approval.

4. MATTERS ARISING FROM MINUTES AND REVIEW OF ACTIONS LIST

No matters arising were brought to attention by those present. The Actions List from the previous meeting was noted.

5. COMMITTEE DATES FOR 2017

KL highlighted that the dates for the IJB's Audit and Risk Committee have been set for 2017 with dates and locations included in the paper.

Recommendation:

Committee Members approved the dates, times and locations of the Audit and Risk Committee meetings for 2017.

6. Quarterly Update from Chief Internal Auditor

JW highlighted that work is ongoing between the two parent organisation's Internal Audit departments to explore where assurances can be shared on joint risks.

KL advised that she has agreed a joint review of the respective Internal Audit departments for the NHS and the Local Authority with Lorna Meehan.

Recommendation:

Committee Members noted the proposals for delivery of the Internal Audit Plan for 2016/17 and considered the process for receiving assurances on audit work undertaken.

7. Quarterly Update from External Auditors

AF welcomed Lindsay Robertson, the representative from External Auditors Grant Thornton, to the meeting.

LR advised that the handover period between Grant Thornton and Pricewater House Cooper has been completed with no issues. A detailed plan for the coming financial year will be presented to the March meeting of the Audit and Risk Committee.

Recommendation:

Committee Members noted the verbal update from the Partnerships External Auditors.

8. Quarterly Update from Chief Finance Officer

KL advised that she has begun initial discussions with NHS and Local Authority finance leads on their accounts for the next year. KL will develop a local action plan to support the process for the annual accounts.

AF queried whether it would be possible to receive future reports where assurance is being given on matters of risk using the Red/Amber/Green system, KL to consider and update at a future meeting.

Recommendation:

Committee Members noted the Chief Finance Officer's Quarterly Report and the updates provided.

9. Audit Scotland Reports

AF advised that the Audit Scotland Reports should be circulated widely around the IJB Membership. KL to investigate what reports have been issued by Audit Scotland in the past quarter and decide whether they are appropriate for circulation to the IJB membership.

Recommendation:

Committee Members noted the Audit Scotland Reports Register which will be presented to Audit and Risk Committee on a quarterly basis.

Committee Members noted the three reports included within the register this quarter.

10. RISK MANAGEMENT ARRANGEMENTS UPDATE

Risk officers have been asked to update the Committee regularly on the implementation of the Risk Management Arrangements for the Partnership.

Issues have arisen with the development of the Risk System software. NHS and Local Authority IT Departments have not prioritised this work due to pressures in supporting the New Hospital Project. KL to discuss with both leads.

Recommendation:

Committee Members noted the progress in implementing Risk Management Arrangements for the IJB.

11. INFORMATION SHARING RISKS

AF welcomed Ryan Prentice, NHS Dumfries and Galloway, to the meeting.

RP highlighted that the issues raised in the presented paper have resulted from concerns around legality in the sharing of patient information between NHS Dumfries and Galloway and Dumfries and Galloway Council. Since the paper was submitted to the IJB's Audit and Risk Committee, the issues have been resolved and Central Legal Office (CLO) has given approval for the work to be undertaken.

RP to raise future concerns relating to these issues with NHS Information Assurance Committee and then escalate to IJB Audit and Risk Committee.

AF requested that RP seek clarification on the governance process for joint information assurance. An update to be presented to this committee once available.

Recommendation:

Committee Members noted the risks highlighted with respect to inter-departmental and inter-agency data sharing.

12. ANY OTHER BUSINESS DEEMED URGENT BY THE CHAIR DUE TO THE NEED FOR A DECISION

None noted.

13. DATE OF NEXT MEETING

The next meeting will be held on the 20th March 2017 at 2pm in the Conference Room, Crichton Hall.