



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 March 2018**

For Approval

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit and Risk Committee meeting held on 19th March 2018 in the Lochar South Room, Crichton Hall

Present:

Ian Carruthers (IC)	Chair – Local Authority Voting Member
Laura Douglas (LD)	Vice Chair – NHS Voting Member
Ann Farrell (AF)	Local Authority Staff Representative
Penny Halliday (PH)	IJB Chair – NHS Voting Member
Katy Lewis (KL)	Chief Finance Officer
Jane Maitland (JM)	IJB Local Authority Voting Member
Julie Watters (JWa)	Chief Internal Auditor

In Attendance:

John Boyd (JB)	External Auditor - Grant Thornton
Graham Gault (GG)	General Manager ICT, NHS D&G
Amber Murray (AM)	Office Administrator
Julie White (JW)	Chief Officer

1. APOLOGIES FOR ABSENCE

Apologies were noted from Lillian Cringles.

2. DECLARATION(S) OF INTEREST

None noted.

3. MINUTES OF THE PREVIOUS MEETING

Minutes were agreed as an accurate record.

4. AGREED ACTIONS FROM PREVIOUS MEETING

Action list will be updated accurately.

5. AGENDA SETTING MATRIX

KL confirmed the attached matrix sets out the known agenda items that will be taken to IJB Audit and Risk Committee throughout the year, which supports forward planning for the committee and also demonstrates the IJB's compliance with governance arrangements.

IC requested clarity on the process for adding an item to the agenda, KL confirmed if someone would like something on the agenda this is acceptable and will be subject to approval by the chair.

Decision(s):

- **Approved the IJB Audit and Risk Committee Matrix for 2018 recognising that the Chair has the ability to adjust the agenda as required to fulfil the needs of the Committee. This is attached at Appendix 1.**

6. CHIEF INTERNAL AUDITOR QUARTERLY UPDATE

The purpose of the report 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 2017/18 and to detail the methods of delivering the appropriate assurances required as part of the overall governance and risk management processes.

JWa went through Appendix 1 and confirmed the progress on the NHS Audit Plan the first 5 Audits have been completed and detailed. The debrief meetings have been scheduled. The reports will be going out in the next week.

At the next IJB Audit & Risk committee JWa will have details for all the requirements for the IJB which will come from the Audits. Completion for the Audits is the end of May.

NHS Audit plan was agreed this morning. JWa will be delivering the audit plan for the IJB next year.

KL confirmed the Progress Report will be on the next Agenda.

Decision(s):

- **Noted the proposals for delivery of the Internal Audit plan for 2017/18 and to consider the process for receiving assurances on audit work undertaken**

7. EXTERNAL AUDITORS DRAFT AUDIT PLAN 2017/18

This paper provides the Integration Joint Board with an update on the work of the External Auditors.

Grant Thornton have been appointed as External Auditors to the Local Authority, the NHS Board and the Integration Joint Board.

The majority of the External Auditors work will focus on the year end.

KL will share the scope of the Audit Scotland Report on Integration with the committee.

PH mentioned what is the one main issue the IJBs across the country may consider as a risk, JB confirmed the way they have been established, the risk of the delivery is different in all partnerships.

Decision(s):

- **The Audit and Risk Committee have scrutinised and reviewed the attached External Audit Progress Report.**

8. ANNUAL ACCOUNTS 2017/18 UPDATE

KL confirmed an update is provided to Audit and Risk Committee on the process and timetable for the production of the 2017/18 annual report and accounts, there is a requirement to agree the balances.

At the next meeting there will be a draft set of the accounts for review. KL would like the IJB to agree that the IJB delegates the initial accounts sign off to the Audit & Risk Committee, KL will work with Alison Warrick to get a paper to the May IJB Meeting. At the IJB meeting in September the final version of the accounts will be available for sign off by the IJB and then published by the end of October.

Decision(s):

- **Noted the Chief Finance Officer Annual Accounts 2017/18 update.**

9. RISK UPDATE

This item has been deferred to the next meeting.

10. INFORMATION SHARING UPDATE

Information sharing is an essential part of joint working. Progress to share informs action across our integrated teams has been slow due to a number of issues which are highlighted in this report:

- System readiness to be able to share data via linked interfaces.
- Organisational opinion/appetite for risk on matters such as privacy and data protection legislation makes electronic systems difficult to link via interfaces.

A short update is provided to inform members of the current position and plans to improve this position to facilitate the safe sharing of information supporting safety for service users while minimising risk of data breaches and improving efficient working practices for or staff.

GG confirmed Mosaic, which is a portal, has been updated, as a practitioner's point of view they are keen to see this implemented but there are some difficulties with this with a group established to work through the issues.

IC has asked if the IJB could issue a direction for this. JW confirmed that she has had a meeting with GG and G Abrines, to get things moving

forward. JW is going to share this info with the NHS and Council Chief Execs to get their support to move this forward. JW wants this to go to the Chief Exec prior to going to the IJB with a direction.

PH asked what will happen if the IJB raise a direction if the Chief Executives don't go ahead with this. If there is any resistance this needs to come from a senior perspective. JW confirmed if we were to raise a direction which couldn't be resolved this would then go through a dispute process.

JW mentioned the risk of us sharing data is a lot smaller than us not sharing information that we should have. When the annual review was completed in October, the partnership asked for support around this.

Decision(s):

- **Noted the progress and continued risks being highlighted with respect to inter-departmental and inter-agency data sharing.**
- **Identified the risks and we are referring this to the IJB in May for update.**

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

There was no other business noted.

12. DATE OF NEXT MEETING

The next meeting will be held 21st June 2018 in The New Board Room, Crichton Hall