



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
18th December 2017**

For Approval

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit and Risk Committee meeting held on 18th December 2017 in the Conference 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
Katy Lewis (KL)	Chief Finance Officer
Jane Maitland (JM)	IJB Local Authority Voting Member

In Attendance:

John Boyd (JBoyd)	External Auditor - Grant Thornton
Joanne Brown (JB)	External Auditor - Grant Thornton
Amber Murray (AM)	Office Administrator
Maureen Stevenson (MS)	Patient Safety and Improvement Manager
Julie Watters (JWa)	Chief Internal Auditor
Ian McNee (IMcN)	Interim Financial Controller, NHS D&G

1. APOLOGIES FOR ABSENCE

Apologies were noted from Julie White, Jim Beattie.

2. DECLARATION(S) OF INTEREST

None noted.

3. MINUTES OF THE PREVIOUS MEETING

All approved.

4. AGREED ACTIONS FROM PREVIOUS MEETING

KL updated that MS will pick up the actions related to risk issues through her Risk update. KL highlighted the information data sharing action. Julie White has asked for some work to be progressed around this and to be taken to the IJB. This supersedes our ask around this.

JM would like to confirm this is not to get lost, KL confirmed this is an Action at Audit & Risk and an action at the IJB and we will continue to follow up and confirm actioned.

5. RISK REGISTER UPDATE

MS attended and confirmed the risk register was discussed at a recent HSCMT meeting for review and discussion. There have been a couple amendments to the Risk Register itself around the risks allocated to Valerie White. Both these risks have been re assessed downwards to medium, this updated schedule will be distributed to members. MS has asked the group to review and agree this risk register and to confirm how regularly they would like it to come to the Audit & Risk Committee Meeting. HSCSMT will receive regular updates particularly on the areas of high risk.

Templates for committee will have to be amended to reflect risk and this action is being progressed. LD asked for confirmation of how the risk register was developed and how it got to this stage. KL confirmed there was an initial workshop open to all IJB members about a year ago and then there was a further workshop with the management team.

IC asked how the risk scoring works. MS confirmed this was set out in the risk strategy where there was a lead officer identified who reviewed the level of risk and provided information on mitigating factors.

JB mentioned that a workshop environment could be used to identify risk appetite and to review this in the context of the risk register which is a great starting point.

MS confirmed duty of candour will come into effect in April 2018 with staff being made aware of the changes. Currently being looked into is to identify those areas that trigger a duty of candour response whether there is fault or not. The desired outcome would be to have a consistent approach to adverse incident reporting across the organisation. STARS team are now using this and work is being done around Wigtownshire. Some of the IT issues have been overcome with work in 2018 due to pick up speed in this area.

It was asked what was determined as an adverse incident or event. MS confirmed an adverse event is something that could have or would have caused harm, (including no harm or low harm), in which case a review would be undertaken.

MS indicated that it is likely there is under reporting of adverse events, but confirmed that this has improved over the years.

JM asked how staff could be encouraged to report, KL confirmed it is the culture around these problems and people feeling blamed.

Decision(s):

- **Scrutinised and reviewed progress in implementing the IJB Risk Strategy.**
- **Committee agreed to hold a workshop around risks in the New Year.**

- **Requested that H&SCSMT review the risk register to consider risks around information sharing, the effectiveness of partnership working across the NHS, Council and IJB and the risks around delivery of transformational change.**

6. CHIEF INTERNAL AUDITOR QUARTERLY UPDATE

JWa talked through the plan that has been proposed. JWa mentioned she has developed a plan which assesses where assurances can be drawn from the existing NHS and Council's Audit work and has met and discussed this with the Head of Audit in the Council.

The plan was also developed using the draft Risk Register. Part of the process for the development of the Audit plan this year will be to get feedback around the risks.

LD asked regarding the capacity to deliver this audit, will staffing be required to come in. JWa and KL confirmed there are financial resources to support this and that we will go out to tender to buy in additional audit days. If the tender does not deliver there are further options being looked into.

JB mentioned there is a synergy around this work and also the wider scope audit work that they will undertake.

JM mentioned that the audit is only showing the NHS, she feels there should be a table with both NHS and Council and then highlighted as IJB.

JWa confirmed there were no direct audits that the council are auditing at the current moment that has direct relevance to the IJB, although this will be reviewed once work is complete.

KL to pick up a conversation with IC and LD around this work and how this should be progressed. IC confirmed he has asked for a high level meeting with each member as part of the Audit Planning process.

KL confirmed the plan needs to be agreed today so JW can take this forward.

Decision(s):

- **Approved the Internal Audit plan for 2017/18.**
- **Agreed to receive updates from the CIA on a quarterly basis.**

7. EXTERNAL AUDITORS DRAFT AUDIT PLAN 2017/18

JB introduced the report on behalf of Grant Thornton and asked JBoyd to take the committee through the report in more detail.

JBoyd mentioned this is a risk based approach which is detailed in the Audit Plan paper presented to committee.

KL noted that the Audit Fee of £24,000 has been set by Audit Scotland for 2017/18. JB mentioned they could look to vary this fee but have agreed not to.

Decision(s):

- **Noted as a committee the attached Report for Dumfries and Galloway Integration Joint Board External Audit Plan for the financial year ended March 2018**

8. CHIEF FINANCE OFFICER QUARTERLY UPDATE

KL discussed the report which has been superseded now that Audit Scotland have confirmed IJB Audit fees for 2017/18. This will be formally notified at next committee.

Included within the document is an update on work under development through the CFO network.

It is proposed that a review of the remit and terms of reference of all committee is undertaken. There will also be a report developed around the progress on internal audit actions.

JM asked are the NHS in the same way as the Council obliged to offer properties to communities in line with the community empowerment act. Work is under development to ensure compliance with the act and also to ensure properties which have a wider health and social care need are discussed with other public sectors bodies including housing providers.

There was some discussion on the Draft Scottish Government budget from 15th December and KL confirmed she will provide an update to IJB members at the Performance and Finance Committee meeting on the 10th January.

Decision(s):

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

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

10. DATE OF NEXT MEETING

The next meeting will be held 19th March 2018 at 2pm, Venue tbc