

## Minute of Meeting Renfrewshire Health and Social Care Integration Joint Board Audit Committee

Date	Time	Venue
Friday, 29 June 2018	09:00	Abercorn Conference Centre, Renfrew Road, Paisley, PA3 4DR

### Present

Councillor Lisa-Marie Hughes and Councillor Scott Kerr (both Renfrewshire Council); Morag Brown and Dorothy McErlean (both Greater Glasgow & Clyde Health Board); and David Wylie (Health Board staff member involved in service provision).

### Chair

Councillor Lisa-Marie Hughes, Chair, presided.

### In Attendance

Ken Graham, Head of Corporate Governance (Clerk), Karen Campbell, Assistant Chief Internal Auditor and Elaine Currie, Senior Committee Services Officer (all Renfrewshire Council); David Leese, Chief Officer, Sarah Lavers, Chief Finance Officer, Ian Beattie, Head of Health and Social Care (Paisley) and Jean Still, Head of Administration (all Renfrewshire Health and Social Care Partnership) and Mark Ferris, Senior Audit Manager and Adam Haahr, Senior Auditor (both Audit Scotland).

### Declarations of Interest

There were no declarations of interest intimated prior to the commencement of the meeting.

## **1 Minute**

The Minute of the meeting of the Integration Joint Board (IJB) Audit Committee held on 26 January 2018 was submitted.

**DECIDED:** That the Minute be approved.

## **2 Summary of Internal Audit Reports**

The Chief Internal Auditor submitted a report providing a summary of internal audit reports.

The report intimated that a risk-based Internal Audit Plan for 2017/18 had been approved at the meeting of the IJB Audit Committee held on 29 January 2018. In line with the Public Sector Internal Audit Standards, Internal Audit must communicate the results of each engagement to the IJB Audit Committee.

Appendix 1 to the report provided details of those audit engagements completed during the period 1 January to 18 May 2018 with the overall assurance rating and the number of recommendations in each risk category. The committee summary for each report was also appended. Where recommendations had been made, relevant managers had put action plans in place to address the issues raised.

**DECIDED:** That the report be noted.

## **3 Summary of Internal Audit Activity in Partner Organisations**

The Chief Internal Auditor submitted a report providing a summary of internal audit activity in partner organisations.

The report intimated that the IJB directed both Renfrewshire Council and NHS Greater Glasgow and Clyde (NHSGG&C) to deliver services that enabled the IJB to deliver on its strategic plan. Both Renfrewshire Council and NHSGG&C had internal audit functions and conducted audits across each organisation, the findings of which were reported to the respective audit committees. Members of the IJB had an interest in the outcomes of the audits at both Renfrewshire Council and NHSGG&C that impacted upon the IJB's ability to deliver the strategic plan or support corporate functions.

The report provided a summary of the internal audit activity within these partner organisations.

**DECIDED:** That the report be noted.

## **4 Internal Audit Annual Report 2017/18**

The Chief Internal Auditor submitted a report relative to the Internal Audit annual report on the IJB 2017/18. The report intimated that the Public Sector Internal Audit Standards required that the Chief Internal Auditor deliver an annual internal audit opinion on the overall adequacy and effectiveness of the internal control environment which could be used by the organisation to inform its governance statement.

The report intimated that the annual report outlined the internal audit work carried out for the year ended 31 March 2018. The annual internal audit opinion must conclude on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control.

The annual report for the IJB was attached as an appendix to the report and included the Chief Internal Auditor's independent and objective opinion as to the adequacy and effectiveness of the internal control environment. In forming the opinion, the Chief Internal Auditor had conducted a review of the internal audit reports issued to the IJB in the year and the internal audit annual reports from partner organisations.

**DECIDED:** That the Internal Audit annual report for 2017/18 be noted.

## **5 Internal Audit Reporting Arrangements**

The Chief Internal Auditor submitted a report relative to internal audit reporting arrangements.

The report intimated that the Chief Internal Auditor was required to develop and maintain a quality assurance and improvement programme that covered all aspects of internal audit including conformance with the Public Sector Internal Audit Standards. This had provided the Chief Auditor with an opportunity to improve and formalise the internal audit reporting arrangements for the IJB.

The report outlined the details and outcomes of the Chief Internal Auditor's considerations in relation to IJB reporting arrangements for completed audit engagements and follow-up work. The report also highlighted changes to the reporting of internal audit performance to the IJB.

**DECIDED:**

(a) That the reporting arrangements put in place to communicate the results of internal audit work to the IJB Audit Committee be noted; and

(b) That it be noted that updates on progress with the IJB audit plan would be provided to each meeting of the IJB Audit Committee and that overall performance on the internal audit function would be reported and monitored quarterly by Renfrewshire Council's Audit, Risk and Scrutiny Board.

## **6 IJB and HSCP Risk Registers**

The Chief Officer submitted a report providing an update on the status of the risk registers currently maintained by Renfrewshire Health and Social Care Partnership (HSCP).

The report intimated that the changes and updates detailed in the report were reviewed by the senior management team on 8 June 2018 and that in terms of accountability it had been agreed that two separate risk registers be maintained, one specifically for the strategic responsibilities of the IJB and the other for the operation responsibilities of the HSCP. Copies of both risk registers were appended to the report.

It was proposed (i) that the report be noted; (ii) that the IJB risk register be approved; (iii) that the HSCP risk register be noted; (iv) that the information detailed under the current risk control measures section for HSCPRR.17.01.01 (Information Governance) specify whether it related to the NHS, the HSCP or both; and (v) that the first sentence under the risk statement section in HSCPRR.17.02.11 (Developing self-evaluation arrangements) be deleted. This was agreed.

**DECIDED:**

(a) That the report be noted;

(b) That the IJB risk register be approved;

(c) That the HSCP risk register be noted;

(d) That the information detailed under the current risk control measures section for HSCPRR.17.01.01 (Information Governance) specify whether it related to the NHS, the HSCP or both; and

(e) That the first sentence under the risk statement section in HSCPRR.17.02.11 (Developing self-evaluation arrangements) be deleted.

## **7 General Data Protection Regulations (GDPR) and New Data Protection Act**

The Head of Administration submitted a report providing an overview of the changes and implications arising from new data protection laws and the implementation of the Public Records (Scotland) Act 2011.

The report intimated that on 25 May 2018 the existing Data Protection Act 1998 had been replaced by new legislation in the form of the General Data Protection Regulation (GDPR) and a new Data Protection Act.

The requirements and key actions for the IJB were appended to the report.

**DECIDED:**

(a) That the actions outlined in the report be noted;

(b) That the requirement to comply with the guidance be noted; and

(c) That the proposed arrangements for the IJB be approved to ensure compliance.

## **8 Training for Audit Committee Members**

Under reference to item 6 of the Minute of the meeting of the IJB Audit Committee held on 26 January 2018 the Chief Internal Auditor submitted a report relative to a proposed programme of training briefings which would be delivered at meetings of the IJB Audit Committee.

The report intimated that a proposed programme of training briefings had been approved at the meeting of the IJB Audit Committee held on 26 January 2018. To facilitate an early introduction of the work of Audit Scotland the dates for the programme of the training briefings required to be amended and the revised programme of training

briefings formed Appendix 1 to the report.

Appendix 2 to the report provided an outline of the briefing to be delivered by the External Auditors providing an overview of the work of Audit Scotland. Mark Ferris and Adam Haar, both Audit Scotland, delivered their presentation to members. Reference was made to the second performance audit on health and social care integration currently being undertaken by Audit Scotland on behalf of the Accounts Commission and the Auditor General for Scotland. It was noted that this report was due to be published in November 2018 and Mark Ferris advised that, following publication, the report author would be available to attend a future meeting of the IJB Audit Committee to discuss the audit findings.

**DECIDED:**

- (a) That the amended programme of training briefings, as detailed in Appendix 1 to the report, be approved;
- (b) That the content of the overview of the Audit Scotland briefing, as detailed in Appendix 2 to the report, and the presentation delivered be noted; and
- (c) That it be noted that, following publication of the second performance audit of IJBs by Audit Scotland, the report author would be available to attend a future meeting of the IJB Audit Committee to discuss the audit findings.

## **9 Proposed Dates of Meetings of the Audit Committee 2018/19**

The Clerk submitted a report relative to proposed dates of meetings of the IJB Audit Committee in 2018/19.

**DECIDED:**

- (a) That meetings of the IJB Audit Committee be held at 9.00 am on 14 September 2018, 25 January and 28 June 2019; and
- (b) That meetings of the IJB Audit Committee be held in the Abercorn Conference Centre, Renfrew Road, Paisley unless that venue was unavailable or unsuitable, in which case it be delegated to the Clerk and Chief Officer, in consultation with the Chair, to determine an alternative venue.