

**INVERCLYDE INTEGRATION JOINT BOARD AUDIT COMMITTEE – 28 JANUARY 2020****Inverclyde Integration Joint Board Audit Committee****Tuesday 28 January 2020 at 1pm**

**Present:** Councillor E Robertson, Mr A Cowan, Dr D Lyons, Mr S McLachlan and Ms G Eardley.

**Chair:** Mr Cowan presided.

**In attendance:** Ms L Long, Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership, Ms A Priestman, Chief Internal Auditor, Ms L Aird, Chief Financial Officer, HSCP, Ms S McAlees, Head of Children's Services & Criminal Justice, Ms V Pollock (for Head of Legal & Property Services) and Ms S Lang (Legal & Property Services).

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| <b>1</b> | <b>Apologies, Substitutions and Declarations of Interest</b>   | <b>1</b> |
|          | An apology for absence was intimated on behalf of Councillor Quinn.  |          |
|          | No declarations of interest were intimated.  |          |
| <b>2</b> | <b>Minute of Meeting of Inverclyde Integration Joint Board (IJB) Audit Committee of 10 September 2019</b>  | <b>2</b> |
|          | There was submitted the minute of the meeting of the Inverclyde Integration Joint Board (IJB) Audit Committee of 10 September 2019.  |          |
|          | <b>Decided:</b> that the minute be agreed.   |          |
| <b>3</b> | <b>Internal Audit Progress Report – 19 August 2019 to 3 January 2020</b>   | <b>3</b> |
|          | There was submitted a report by the Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership on the progress made by Internal Audit during the period from 19 August 2019 to 3 January 2020.  |          |
|          | (Dr Lyons entered the meeting during consideration of this item of business).  |          |
|          | The Chief Internal Auditor presented the report, being the regular progress report, and advised as follows:  |          |
|          | (1) One audit report had been finalised since the last meeting of the IJB Audit Committee in September 2019 being, the IJB Integration Scheme – Update Readiness Review. The audit had been carried out to provide early feedback on the current scheme and to allow Officers to feed any recommendations into the review process by the wider group. The overall control environment opinion was satisfactory with one amber issue identified in relation to hosted services, specifically the need to specify the governance arrangements more explicitly and to provide a clearer description of what was required, for example, performance management arrangements and the reporting requirements from the partner organisations. |          |
|          | An action plan had been agreed by management which specified that the points identified by the audit would be considered as part of a wider review of hosted services.   |          |
|          | (2) One internal audit action plan had been due for completion by 30 November 2019 and this had been reported as completed by management. Three current action points were being progressed by officers. The first part of the agreed action was to deal with current issues, pending receipt of the Scottish Government's guidance on directions and the second part was to ensure that once the Scottish Government guidance had   |          |

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been published, it was adequately applied.

(3) In relation to audit reports from partner bodies, one audit report had been issued to Inverclyde Council which was relevant to the IJB Audit Committee, being HR Safe Recruitment checks with an overall control environment opinion of satisfactory. The main finding related to timeliness of processing a number of safe recruitment checks and actions would be implemented by June 2020.

(4) There continued to be a number of investigations carried out in relation to the misuse of blue badges and the misuse of expired blue badges.

(5) In relation to NHS Greater Glasgow & Clyde, there was one audit report which was rated amber and which was relevant to the IJB Audit Committee. This related to IT security, including redesigning the leavers process and the need to improve logging and monitoring reviews or activity for privileged and generic accounts.

There followed a discussion on a number of issues related to this item.

(1) It was clarified in relation to the audit report on HR Safe Recruitment Checks and the scope of the IJB in terms of the deadline, that reliance was placed on the audit follow-up process with any slippages/concerns being reported to the IJB with a revised action date. The Committee papers were in the public domain and the process was a transparent one.

(2) With regard to the use of the date of 30 November 2019 for reporting purposes, it was clarified that this was the last complete month which could be reported on in terms of the Committee submission dates within the timetable of meetings.

(3) In relation to the commentary within section 3 (IJB Integration Scheme Update – Readiness Review) that the updated Integration Scheme allowed for clearer governance arrangements which addressed the majority (but not all) of the points raised, members were advised that there was a recognition that in practical terms, not all of the recommendations made could be implemented but assurance was provided that all high risk issues had been addressed.

**Decided:** that the progress by Internal Audit in the period from 19 August 2019 to 3 January 2020 be noted.

### 4 IJB Risk Register

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There was submitted a report by the Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership providing an update on the status of the IJB Strategic Risk Register.

It was noted that Financial Sustainability (Risk 3) and Workforce Sustainability (Risk 4) both contained risk scores of 12, the highest within the Risk Register.

During this item, reference was made to the risk in relation to the Mental Health Medical Workforce which was rated very high/red within the HSCP Operational Risk Register and there was discussion as to whether this had strategic implications which should be reflected in the IJB Risk Register.

**Decided:**

- (1) that the report be noted;
- (2) that agreement be given to the IJB Strategic Risk Register;
- (3) that officers be asked to highlight any re-scoring of risks within the IJB Strategic Risk Register through the inclusion of change in score column;
- (4) that officers be asked to reflect the high/red risk in respect of the Mental Health Medical Workforce contained in the HSCP Operational Risk Register within Risk 4 of the IJB Strategic Risk Register;
- (5) that the IJB Strategic Risk Register be submitted to the Integration Joint Board once per year in March;
- (6) that it be agreed that the IJB Audit Committee review the full list of risks annually

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and in mid-year review only those risks scoring 9 and above which carry additional control actions; and

(7) that a half day development session for the IJB Audit Committee be arranged at the end of April/beginning of May and that all members of the Integration Joint Board be invited to attend.

### 5 External Audit – Proposed Audit Fee 2019/20

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There was submitted a report by the Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership advising the Committee of the proposed Audit Scotland external audit fee 2019/20. The report advised that the proposed audit fee was £26,560, a £1,560 or 6.2% increase from 2018/19 which represented a £9,160 or 52.6% increase since 2016/17.

**Decided:**

- (1) that the proposed Audit Scotland external audit fee for 2019/20 be noted;
- (2) that the anticipated IJB Chief Financial Officers network discussions with Audit Scotland in respect of the proposed fee be noted; and
- (3) that delegated authority be granted to the Chief Officer to accept the final fee proposal on behalf of the Committee.

### 6 Enabling Digital Government – Audit Scotland

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There was submitted a report by the Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership reviewing the 'Enabling Digital Government' report published by Audit Scotland in June 2019 and requesting the Committee to agree an action plan based on the key recommendations within the report. It was noted that the Audit Scotland report was the first in a series planned to look at digital progress across the public sector and the role of the Scottish Government in enabling digital government.

**Decided:**

- (1) that the Audit Scotland report 'Enabling Digital Government' be noted; and
- (2) that the proposed response to the report's recommendations by Inverclyde HSCP as set out in section 6, including the action plan at paragraph 6.5, be noted.