

INVERCLYDE INTEGRATION JOINT BOARD AUDIT COMMITTEE – 21 JUNE 2021

Inverclyde Integration Joint Board Audit Committee

Monday 21 June 2021 at 1.00pm

Present:

Voting Members:

Alan Cowan (Chair)	Greater Glasgow & Clyde NHS Board
Councillor Elizabeth Robertson (Vice Chair)	Inverclyde Council
Councillor Luciano Rebecchi	Inverclyde Council
Paula Speirs	Greater Glasgow & Clyde NHS Board

Non-Voting Members:

Diana McCrone	Staff Representative, Greater Glasgow & Clyde NHS Board
Stevie McLachlan	Inverclyde Housing Association Forum Representative – River Clyde Homes

Also present:

Louise Long	Corporate Director (Chief Officer) Inverclyde Health & Social Care Partnership
Allen Stevenson	On behalf of Sharon McAlees ,Chief Social Worker, Inverclyde Council
Lisa Branter	Interim Chief Finance Officer, Health & Social Care Partnership
Andi Priestman	Chief Internal Auditor, Inverclyde Council
Vicky Pollock	Legal Services Manager, Inverclyde Council
Diane Sweeney	Senior Committee Officer, Inverclyde Council
Lindsay Carrick	Senior Committee Officer, Inverclyde Council
Craig Given (observing)	Finance Manager, Inverclyde Council

Chair: Alan Cowan presided.

The meeting took place via video-conference.

20 Apologies, Substitutions and Declarations of Interest 20

No apologies for absence or declarations of interest were intimated.

21 Minute of Meeting of IJB Audit Committee of 29 March 2021 21

There was submitted the Minute of the Inverclyde Integration Joint Board Audit Committee of 29 March 2021.

Decided: that the Minute be agreed.

22 IJB Risk Register

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There was submitted a report by the Corporate Director (Chief Officer) Inverclyde Health & Social Care Partnership (1) providing an update on the status of the IJB Strategic Risk Register (2) seeking endorsement of the approach to risk management and (3) seeking approval for the updated terminology on the IJB Risk Appetite Matrix.

The report was presented by Ms Long and summarised the process for reporting risk across the Health and Social Care Partnership (HSCP) and Inverclyde Integrated Joint Board (IJB). The IJB Risk Register (Appendix A), Approach to Risk Management/Risk Registers (Appendix B) and 'Updated' and 'Original' Risk Appetite Tables (Appendix C) were appended to the report for reference.

The report noted that the IJB held an Audit Committee Development Session on 15 March 2021, facilitated by CIPFA, which focused on the roles and responsibilities of the Audit Committee, skill development, risk management and assurance. At that session the Board agreed that it wished to update the terminology used in the Risk Appetite Matrix. The discussion on terminology at the Development Session led to the following suggested changes:

Current Wording	Revised Wording
Issue	Concern
Possible	Likely – medium/long term
Probable	Probable – short/medium term

These changes were captured in the Updated Risk Appetite Table.

The Chair advised his intention that the Committee discuss risk management topically:-

Approach to risk management -

The consensus was that the Committee were content with the approach taken to risk management as detailed in Appendix B to the report. Clarification was sought on 'Review and Reporting Lines' as detailed in the Appendix, with the confirmation from Ms Long that the HSCP Senior Management Team currently review the Risk Register at Senior Management Team meetings with a report presented to the IJB Audit Committee twice yearly, noting this reports recommendation that this be formalised to occur in September and March. The Committee commented on the Risk Strategy having been approved in 2016 and suggested that it may be time for a review.

Updated risk appetite matrix -

The Committee agreed that a separate facilitated Development Session should be arranged on risk appetite, as per the recommendation in the report, and suggested that Gallagher Bassett may provide this. Ms Speirs offered assistance as she has experience in this field, which was welcomed by Ms Long. The success of the previous Development Session on 15 March 2021 was acknowledged, with the Committee agreeing that a Development Session on risk appetite would also be beneficial. The timing of the Development Session was discussed, and members agreed that it would be useful if it took place before any potential review of the Risk Strategy, but that it would be useful to view the Risk Strategy before the Development Session.

IJB Risk Register -

The Committee discussed the layout and information contained within the Risk Register, a copy of which formed Appendix A to the report, in general terms, and it was agreed that the Risk Register be reviewed and officers consider the following suggestions:

difference between inherent and residual risk highlighted;

inclusion of a further column to reflect risk appetite;

expansion of the 'Additional Controls/Mitigating Actions & Time Frames with End Dates' with additional controls emphasised;

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column to provide more information on timelines; addition of the date when the risk was identified; and scoring risk 'before' and 'after' to reflect mitigations,

The Chair reflected on the Risk Register being a living document, confirmed the scoring system was useful to focus attention on priorities and advised that it would be beneficial to have a period of reflection and then develop an approach to further develop the Risk Register.

The Committee then reviewed the seven 'risk concerns' contained within the Risk Register and Ms Long provided an analysis of each one.

The Committee sought reassurance on Risk 3 (Financial sustainability/Constraints/Resource Allocation) and Risk 4 (Financial Implications of Responding to Covid-19), regarding the general impact of the pandemic, and specifically the provision of PPE, on budgets. Ms Long provided an explanation of the financial governance process including the allocation and use of Earmarked Reserves.

Concerns were expressed on Risk 5 (Workforce Sustainability and Implementation of the Workforce Plan). Ms Long acknowledged the concern, advised of significant additional investment in this area, and emphasised the current focus on succession planning and staff training. Mr Stevenson highlighted the steps taken to promote recruitment within various areas of the service, and noted that a flexible and innovative approach had been adopted. The risk score of 12 was acknowledged to reflect the seriousness with which this issue was taken, and the Committee also recognised that there was a national staffing shortage within certain medical professions.

The Committee requested an update on the impact of the Covid pandemic on Risk 6 (Performance Management Information) and Ms Long advised that national data was expected which would provide an insight into this.

Decided:

- (1) that the content of the report be noted;
- (2) that the approach to risk management be endorsed;
- (3) that the updated risk appetite matrix be noted and that a facilitated session for IJB future approval, arranged by January 2022 on risk appetite statement, be agreed;
- (4) that it be agreed that the Audit Committee will review the Risk Register in September and March each year; and
- (5) that the IJB Strategic Risk Register be noted and reviewed, taking into account the comments made at the meeting.

23 Mr Alan Cowan

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At the conclusion of business Mr Cowan acknowledged that this was his last IJB Audit Committee, thanked staff, both past and present, for their assistance and commitment, and congratulated Mr Given on his recent appointment as Chief Finance Officer. Ms Long thanked Mr Cowan for his stewardship and wished him well as he assumes the Chair of the Inverclyde Integration Joint Board.