



Minutes

IJB Audit and Assurance Committee

10.00am, Friday 6 November 2020

Virtual Meeting, Microsoft Teams

Present:

Councillor Phil Doggart (Chair), Andrew Coull, Councillor George Gordon, Martin Hill and Peter Murray.

Officers: Matthew Brass (Committee Services), Laura Calder (Principal Audit Manager), Nikki Conway (Locality Manager), Tom Cowan (Head of Operations), Tony Duncan (Head of Strategic Planning), Helen Elder (Executive Assistant), Katie McWilliam (Strategic Planning Manager), Jamie Macrae (Clerk), Alana Nabulsi (Contracts Manager), Lesley Newdall (Chief Internal Auditor), Moira Pringle (Chief Finance Officer), Judith Proctor (Chief Officer), Angela Ritchie (Senior Executive Assistant) and Cathy Wilson (Operations Manager).

Apologies: None.

1. Minutes

Decision

To note the minute would be circulated and submitted to the next Committee meeting.

2. Annual Cycle of Business

Decision

To note the Annual Cycle of Business.

(Reference – Annual Cycle of Business, submitted.)

3. Outstanding Actions

Decision

- 1) To agree to close the following actions;
 - Action 2 – IJB Records Management Plan
 - Action 3 – Risk Register
 - Action 4 – Internal Audit Update – 22 October 2019 to 13 February 2020.
- 2) To note the remaining outstanding actions.

(Reference – Outstanding Actions, submitted.)

4. Update from NHS Lothian: Internal Audit Principles & Monitoring of Progress with Implementation Findings

A verbal update was provided to Committee by Alan Payne, NHS Lothian, on Internal Audit Principles and the Progress with Implementation Findings.

The update gave Committee more information on the refresh of internal audit principles, after concerns were expressed surrounding the relevance and ability of the current principles that were in place.

Committee members noted that the work undertaken by NHS Lothian representatives did not reflect the discussions and presumptions members had, and there appeared to be a misunderstanding between both parties over the problems of the current principles – specifically for the IJB - and the work being done to resolve them. As a result, further clarity was requested.

Decision

- 1) To agree that a meeting would be arranged with Jo Bennett to seek clarity on the internal audit principles.
- 2) To request a full report to next Committee detailing the outcomes of the discussion.

5. Internal Audit Update for the Period 16 March to 28 September 2020

An internal audit (IA) update was presented to committee which provided a progress report on internal audit assurance activity from 16 March to 28 September 2020.

It was noted that nine audit reports had been completed by the Council and NHS Lothian that may be of interest to the Committee, but no reports had been

referred by the Governance, Risk and Best Value Committee or the NHSL Audit and Risk Committee.

It was noted that there were several open, overdue IA findings for the Committee to consider, which were overdue even after factoring in a four-month extension due to Covid-19. Several members expressed concerns that these overdue findings were not being treated seriously, and the current system was not giving priority to these actions.

The Plan for 2020/21 was noted to have progressed, with one audit currently underway.

Decision

- 1) To note progress with the delivery of the EIJB 2020/21 IA Plan.
- 2) To note progress with the refresh of the engagement Principles and the IA assurance approach.
- 3) To refer this report to the Council's Governance, Risk and Best Value Committee for their information as a number of the open EIJB IA findings relate to operational service delivery for the Health and Social Care Partnership by the Council.
- 4) To express concern over the lack of assurance from the current process of the implementation of agreed management actions to support closure of the EIJB IA findings raised.
- 5) To instruct the Chief Officer to update Committee with a report on management engagement with the audit process.

(Reference – report by the Chief Internal Auditor, submitted.)

6. Integration Joint Board Risk Register

An updated version of the IJB Risk Register was presented to Committee for consideration. The report updated Committee on the risk management activity put in place to manage, mitigate and escalate risks.

A new, proposed methodology was introduced to Committee which attempts to clearly articulate the actions being taken to manage and mitigate risks. This new method included 'risk profile cards' for 'medium' risks, which members noted could contribute to a more detailed and comprehensive Risk Register.

Decision

- 1) To note the continued development of the IJB Risk Register.
- 2) To note the introduction of 'risk profile cards' for 'medium' risks.
- 3) To consider the mitigating controls identified against these current risks are adequate.
- 4) To consider if further risks should be added to the register.

- 5) To consider the approach the Committee would recommend where there was a formal proposal to accept a risk.
- 6) To agree that a note would be circulated on Risk ID 3.5, detailing how it could occur and the reasons for its 'low' rating.

(Reference – report by the Chief Finance Officer, Edinburgh Integration Joint Board, submitted.)

7. Update on the 17 December 2020 IJB Risk Workshop

An update was presented to Committee on the progress of the IJB Risk Workshop scheduled for 17 December 2020.

Following ambiguity surrounding the discussion of internal audit principles earlier in the meeting, it was agreed that the principles that would be discussed would need to be clarified, and then circulated to members before the Workshop start date.

Decision

- 1) To note the plan for the 17 December IJB developmental workshop.
- 2) To circulate a note on the internal audit principles that will be discussed at the Workshop.
- 3) To formally extend an invitation to Lesley Newdall and Jo Bennett to the Workshop.

(Reference – report by the Chief Finance Officer, Edinburgh Integration Joint Board, submitted.)

8. Integration Joint Board Records Management Plan Update

A progress report was presented to Committee providing members with the Integration Joint Board's Record Management Plan update.

The report updated members on the status of outstanding elements that were suggested from the Keeper of Scotland's improvement plan, which was received in January. It was noted these elements needed to be completed by the end of October 2020, ready for a draft re-submission to the Keeper's Office on 30 November 2020.

Decision

- 1) To note progress made against the IJB RMP action plan since 30 September 2020.
- 2) To review and approve the IJB's Records Management Improvement Policy Statement.
- 3) To review and approve the IJB's Business Classification Scheme, Records Retention and Destruction Schedule.

- 4) To review and approve the Memorandum of Understanding (MoU) between the City of Edinburgh Council and (the Council) and the IJB for the archiving and transfer of IJB historical records.
- 5) To note the proposed changes made to the Council's Information Board Terms of Reference regarding its role for IJB business.
- 6) To circulate a briefing note providing a progress update one week prior to the next Committee meeting.
- 7) To formally record the Committee's thanks to Cathy Wilson for her work on the Plan as the IJB's Records Manager.

(Reference – Integration Joint Board Records Management Plan Update – Report by the Chief Finance Officer, Edinburgh Integration Joint Board, submitted.)

9. Progress with Board Assurance Framework

Endorsement was sought after the Board Assurance Framework was presented to Committee. The report proposed levels of assurance and suggested a committee assurance programme which – if endorsed by Committee – would be recommended to the Integration Joint Board.

Decision

- 1) To endorse the proposals on the report and recommend them to the Integration Joint Board
- 2) To note the report to the Joint Board would recommend amending the template but clarifying that assurance levels would only be provided if appropriate.

(Reference – report by the Chief Internal Auditor, submitted.)

10. Date of Next Meeting

To agree that the committee would next meet at 10.00am on 29 January 2021.