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| <b>NHS Greater Glasgow &amp; Clyde</b> | <b>Paper No. 23/101</b>                        |
| <b>Paper Title</b>                     | <b>Standing Committee Chair's Board Report</b> |
| <b>Meeting:</b>                        | <b>Board Meeting</b>                           |
| <b>Date of Meeting:</b>                | <b>Tuesday, 19 December 2023</b>               |
| <b>Purpose of Paper:</b>               | <b>For Assurance</b>                           |
| <b>Classification:</b>                 | <b>Board Official</b>                          |
| <b>Name of Reporting Committee</b>     | <b>Audit and Risk Committee</b>                |
| <b>Date of Reporting Committee</b>     | <b>12 December 2023</b>                        |
| <b>Committee Chairperson</b>           | <b>Ms Michelle Wailes</b>                      |

## 1. Purpose of Paper

**The purpose of this paper is to:** inform the NHS Board on key items of discussion at the NHSGGC Audit and Risk Committee.

## 2. Recommendation

The Board is asked to note the key items of discussion at the recent meeting of the Audit and Risk Committee on 12 December 2023 as set out below and seek further assurance as required.

## 3. Key Items of Discussion

### 3.1 Information Governance Steering Group Minutes

- Paper provided for assurance.
- The Committee were advised on the progress with the Information Governance Workplan, and noted updates regarding Information Governance Standing Requests, Information Security reports, Health Record and Training Reports.
- Committee members were assured by the minute.

### 3.2 Fraud Report

- Papers provided for assurance.
- Members received an update on current fraud cases and on the actions which have been undertaken within NHS Greater Glasgow and Clyde (NHSGGC) to

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prevent, detect and investigate fraud in the period 1 August 2023 to 31 October 2023.

- The Committee noted the following reports attached within the paper: The CFS Quarterly Report to September 2023, Patient Exemption statistics for the period April to September 2023, The Fraud Annual Action Plan.
- The Committee were assured by the update.

### **3.3 External Audit Plan**

- Paper provided for assurance.
- The Committee noted the proposed audit approach for the audit of the financial statements for the year ending 31 March 2024.
- The Committee were advised that the plan was developed through planning discussions with management and the Chair of the Audit and Risk Committee, as well as, a review of key documentation and committee reports and the current position of the Greater Glasgow and Clyde Health Board.
- The Committee were assured by the paper.

### **3.4 2022-23 External Audit Action Progress Update**

- Paper provided for assurance.
- Members noted an update on progress to date in delivering the 15 audit recommendations made by EY as part of the 2022/23 Annual Accounts audit. Out of 15 actions 2 were completed and 13 were ongoing but on target.
- The Committee were advised that many of the actions could not be fully concluded until the forthcoming year end had taken place, however these had been factored into the year-end timetable and planning.
- The Committee were assured by the update.

### **3.5 Network and Information Systems Regulations Audit Report**

- Report provided for assurance.
- The Committee noted a summary of the key findings and recommendations from the Network & Information Systems Regulations (NISR) audit 2023
- The Committee noted that there were six areas which were performing well but required appropriate development to meet the 80% compliance target.
- NHSGGC met KPIs of 80% compliance and 0% of categories scoring less than 30%.
- The Committee were advised that the Board NIS action plan had been endorsed by the Information Governance Steering Group (IGSG) who will review progress on a quarterly basis with assurance reports provided to the Corporate Management Team and Audit and Risk Committee.
- The Committee were assured by the report.

### **3.6 Internal Audit Reports**

- Reports provided for assurance.

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- The Committee a summary of internal audit activity since the last meeting, which included :
  - Internal Audit Progress Report
  - Internal Audit Report – Consultant Job Planning
  - Internal Audit Report – Infection Prevention and Control
  - Internal Audit Report – IT General Controls – Key Business Applications
  - Management Action Follow Up Q3 2023/24
- The Committee were assured by the reports.

### **3.7 Risk Appetite Statement**

- The papers provided for approval.
- The Committee were advised that the annual review of the Risk Appetite Statement was approved by the Board in October 2022. It was proposed that the current Risk Appetite statement was approved for 2024 with no changes.
- During 2024 a review would be carried out of the Risk Appetite once the Chair of the Board was in role and this would also allow the new Chief Risk Officer time in role to review the Corporate Risks and Risk Appetite Statement fully.
- The Committee noted the list of groups and stakeholders who were approached to review and endorse the Risk Appetite Statement.
- The Committee approved the paper.

### **3.8 Corporate Risk Register**

- Paper provided for assurance.
- The Committee noted a quarterly update of the Corporate Risk Registry up to September 2023 including any changes that were approved by the CMT in November.
- The Committee were assured by the paper.

### **3.9 Whistleblowing Quarter 2 Report**

- The report provided for assurance.
- Members noted the overview of whistleblowing activity from quarter 2 2023/24
- The Committee were advised that whistleblowing investigations were conducted in line with the National Whistleblowing Standards and Whistleblowing Policy.
- The Committee noted the challenges faced in meeting Stage 2 performance due to the complexities of concerns raised and level of investigation required.
- The Committee were assured by the report.

### **3.10 Legal Claims Quarter 2 Report**

- The report provided for assurance
- The Committee noted a summary of the legal activity; including: 5 Public enquiries, 6 current and future discretionary fatal Accident Inquiries (FAI), 29 mandatory FAIs, 100 Crown or Police investigations into sudden/unexpected deaths, 3 Police investigations
- The Committee were assured by the report

## **4 Issues for referral to other Standing Committees or escalation to the NHS Board**

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There were no issues for referral to other Standing Committees or escalation to the NHS Board.

### **5 Date of Next Meeting**

The next meeting of the Audit and Risk Committee will take place on Tuesday, 12 March 2024.