

NHS GREATER GLASGOW AND CLYDE

**Minutes of the Meeting of the
Audit and Risk Committee
held on Tuesday, 12 September at 9.30 am
via Microsoft Teams**

PRESENT

Ms Michelle Wailes (in the Chair)

Mr Alan Cowan	Cllr Michelle McGinty
Ms Jacqueline Forbes	Ms Rona Sweeney
Ms Margaret Kerr (Vice Chair)	Mr Charles Vincent
Cllr Martin McCluskey	

IN ATTENDANCE

Ms Lesley Aird	Assistant Director of Finance - Financial Services
Ms Denise Brown	Director of Digital Services
Mr John Brown	Board Chair
Ms Kim Donald	Corporate Services Manager - Governance
Mrs Jane Grant	Chief Executive
Mr Rob Jones	External Auditor, Ernst & Young
Ms Deirdre McCormick	Chief Nurse
Dr Colin MacKay	Deputy Medical Director (Corporate Services)
Mr Steven Munce	Workforce Planning and Analytics Manager
Mr Colin Neil	Director of Finance
Mr Stephen Reid	External Auditor, Ernst & Young
Ms Elaine Vanhegan	Director of Corporate Services and Governance
Ms Rachael Weir	Internal Auditor, Azets
Mr Scott Wilson	Business Manager
Ms Rachel Wynne	External Auditor, Ernst & Young
Ms Elizabeth Young	Internal Auditor, Azets

			ACTION BY
47.	Welcome and Apologies		
	The Chair welcomed those present. There were no apologies noted. NOTED		
48.	Declaration(s) of Interest(s)		

OFFICIAL SENSITIVE

			ACTION BY
	The Chair invited members to declare any interests in any of the matters being discussed. There were no declarations of interest.		
	<u>NOTED</u>		
49.	Minutes of Previous Meeting		
	The Committee considered the minute of the Audit and Risk Committee meeting held on 20 June 2023 [Paper No. ARC(M)23/03] and 27 June 2023 [Paper No. ARC(M)23/04] and were content to approve the minute as a complete and accurate record subject to the following amendment:		
	<u>Minute 47 [Paper No. ARC(M)23/04]:</u> Cllr Chris Cunningham and Mr David Gould to be removed from the apologies as they are not members of the Committee.		Secretariat
	<u>APPROVED</u>		
50.	Matters Arising		
	a) Rolling Action List		
	The Committee considered the Rolling Action List [Paper No. 23/38] and were content to accept the recommendation that 2 actions were closed.		
	An updated was provided in relation to:		
	<u>Minute 9c Internal Audit Draft Audit Plan 2023-24</u>		
	<ul style="list-style-type: none"> Mr Neil confirmed that the action was complete and the revised wording for the Internal Audit Plan had been agreed. 		
	<u>Minute 20 Annual Fraud Report</u>		
	<ul style="list-style-type: none"> Ms Aird confirmed that 17 people had completed the Counter Fraud Services training to date, alongside 30-40 through the Fraud Liaison Officer training. 		
	<u>Minute 31 Information Governance Steering Group Minutes</u>		
	<ul style="list-style-type: none"> Mr Neil confirmed that the WhatsApp guidance was approved through the Information Governance Steering Group in August. It was agreed that the guidance document would be circulated to the Committee and the action would be noted as complete. 		Secretariat
	There were no other matters arising noted.		
	<u>APPROVED</u>		

			ACTION BY
51.	Minutes of Sub Committees		
	a) Information Governance Steering Group		
	<p>The Committee considered the paper 'Information Governance Steering Group – Approved Minutes of the meeting held on 17 May 2023' [Paper No. 23/39] presented by Mr Colin Neil, Director of Finance.</p> <p>Mr Neil highlighted that work plans were progressing well and that extensive penetration training was carried out as part of the reliance review and NIS audit. Mr Neil also reported on the increasing characterisation and background checks for password security.</p> <p>Mr Neil noted that subject access requests remain high; however, there was positive progress with regards to training and advice requests as well as positive work being carried out in relation to the Information Asset Register.</p> <p>With regards to the ICO and NIS audits, Mr Neil confirmed that the review outcomes would be available to the Committee in December.</p> <p>In response to a comment regarding the use of acronyms within the minutes, it was agreed that these would be explained in full the first time they are used to allow Members to have a full understanding of the discussion.</p> <p>In response to a query regarding the threat level, Ms Brown advised that the level remains high, highlighting that the organisation receives regular updates from external bodies. Ms Brown assured Members that controls had been tightened to mitigate risks and we continue to follow the national guidance in this regard.</p> <p>The Committee were assured by the update.</p> <p><u>ASSURED</u></p>		<p>Mr Neil</p> <p>Mr Neil</p>
52.	Fraud Report		
	<p>The Committee considered the paper 'Fraud Report' [Paper No. 23/40] presented by Ms Lesley Aird, Assistant Director of Finance.</p> <p>Ms Aird highlighted that there were no significant issues relating to fraud to report. In the period April to July 2023 there were 25 allegations received in comparison to 23 received the previous year.</p>		

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	<p>Ms Aird confirmed that there were 12 open cases, with one new fraud being reported since the last report. At the end of July there were 17 open allegations which are still being investigated</p> <p>With regards to counter fraud training and awareness sessions, Ms Aird noted that a separate session was run by the Fraud Liaison Officer for senior charge nurses within the Women and Children’s service, at their request. Ms Aird highlighted that further sessions were scheduled for September and October 2023 with a main focus on Procurement and Finance teams. Ms Aird also noted a planned visit from the Counter Fraud Services to NHSGGC and agreed an update would be provided at the December meeting.</p> <p>In response to a query regarding the use of the Whistleblowing Standards, Ms Aird highlighted that fraud cases come through a variety of channels, however, agreed that she would provide an update via the Core Brief. The Chair noted that it was Counter Fraud Services Awareness Week from 13th November 2023 and this may be a useful time to bring this to colleague’s attention.</p> <p>In response to a query regarding the timeframe to conclude fraud cases, Ms Aird confirmed that further narrative would be provided in future iterations of the report to explain the reason for delays in concluding open cases.</p> <p>In response to a query regarding the cost/benefit of the National Fraud Initiative, Ms Aird agreed that the December report would include an update on the review of this arrangement.</p> <p>The Committee were assured by the update.</p> <p><u>ASSURED</u></p>		<p>Ms Aird</p> <p>Ms Aird</p> <p>Ms Aird</p> <p>Ms Aird</p>
53.	External Audit Update		
	<p>The Committee received a verbal update regarding the External Audit presented by Mr Colin Neil, Director of Finance, and Mr Stephen Reid, Ernst and Young (EY).</p> <p>Mr Reid highlighted that this was the first year audit of the external audit contract and advised that the initial post audit debrief processes were going well.</p> <p>Mr Reid also confirmed that EY had started to plan the 2023-24 audit and had already held initial discussions with the Mrs Grant</p>		

			ACTION BY
	<p>and Mr Neil. Mr Reid noted that the main audit planning will take place over October and November 2023, and the plan would be reviewed at the December ARC for approval.</p> <p>Mr Reid confirmed that EY had no concerns to raise at this stage.</p> <p>Mr Neil explained that a national short life working group had been set up through the Technical Advisory Group (TAG) to review the SLA contractual arrangements and yearend treatment and that NHSGGC were represented within this group.</p> <p>Mr Neil confirmed that an action plan had been drawn up to deliver the recommendations from the 22-23 audit and a progress report will be brought back to the December meeting.</p> <p>The Committee were assured by the update.</p> <p><u>ASSURED</u></p>		Mr Neil
54.	Internal Audit Reports		
	<p>The Committee considered the paper ‘Internal Audit Reports’ [Paper No. 23/41] presented by Ms Lesley Aird, Assistant Director of Finance, Ms Rachael Weir, Azets and Ms Rachel King, Azets.</p> <p>Ms Weir explained that, following the external audit recommendation, all Internal Audit reports will now come to the Committee in full. Ms Weir confirmed good progress against the Audit Plan, and highlighted a proposed change to the 2023-24 plan; following feedback from the Director of HR & OD it was requested that the planned Staff Performance Management review be replaced with a Staff Absence review. The Committee were content to approve the change.</p> <p><u>Internal Audit Report – Public Protection Arrangements</u> The Committee were advised that the Public Protection arrangements now encompass both Child and Adult protection, noting the service is going through a transitional phase to bring the adult protection guidance in line with the child protection, which was acknowledged as having a good governance structure in place. Ms King noted substantial improvement required with 8 recommendations, including compliance with training and reporting arrangements.</p>		

		ACTION BY
	<p>In response to a query regarding the risk rating of Public Protection, Mr Neil advised that this was reviewed in Quarter 4 and reduced; however, following the audit return this was increased to 12 to reflect the challenges. Ms McCormick reassured the Committee that some of the actions will be completed quickly and are based on operational tasks such as logging data, as opposed to a lack of protocol.</p> <p>In response to a comment regarding the assurance sought via the Clinical and Care Governance Committee (C&CG) regarding Public Protection, Ms McCormick explained that the adult governance structure mirrors the child structure and both report in via the Public Protection team and up through the C&CG.</p> <p>With regards to staff training, the Committee were advised that this would be monitored via the Staff Governance Committee and actively managed across the organization.</p> <p>Mrs Grant agreed that documentation and training in this area need to be addressed as a matter of urgency to ensure the embedded arrangements are performing effectively. Mrs Grant also recognised that the timing of this audit is challenging due to the transition. The Committee agreed that the elements of the January 2024 action date should be brought forward with substantial improvement to be delivered quickly and the report should be updated to reflect the amended trajectories.</p> <p>In response to a query regarding the monitoring of these actions, it was confirmed this would be scrutinized via the appropriate standing committee.</p> <p><u>Internal Audit Report – Workforce Planning</u> Ms King explained that the document was a consultancy report, rather than a traditional audit, to assist with establishing staffing forecasting requirements with a view to reducing waiting times.</p> <p>Mr Munce noted that this was the first time we have had the opportunity to review the tool, which had been trialed within the Women and Children’s service. Mr Munce highlighted the importance of reliable data and following the trial in Women and Children’s services there would be a discussion on how this could be taken forward in a meaningful way.</p>	<p>Ms Weir/Ms King/Ms McCormick</p>

		ACTION BY
	<p>In response to a query regarding the timeline for outputs, Mr Munce highlighted that this was hard to predict and noted that the tool would not change the workforce or demand, but help us make better use of the capacity we have.</p> <p>The Committee were assured that models within, and out with, healthcare were being considered, as well as advanced technology within other sectors.</p> <p>In response to a comment regarding the scope of the model, it was agreed that the CMT would consider the tool and how this could be best rolled out and monitored through FP&P.</p> <p><u>Internal Audit Report – Property Transactions Report</u> Ms King confirmed the audit was statutory and there were no improvement actions identified.</p> <p><u>Management Action Follow Up Q2 2023/24</u> Ms Weir highlighted that there were no overdue actions at the end of the period. The Chair noted that this was a positive report which demonstrates that management are responding to agreed recommendations promptly and effectively.</p> <p>The Committee were assured by the report.</p> <p><u>NOTED</u></p>	
55.	Corporate Risk Register	
	<p>The Committee considered the paper ‘Corporate Risk Register’ [Paper No. 23/42] presented by Mr Colin Neil, Director of Finance.</p> <p>Mr Neil highlighted that the Financial Sustainability risk will be reviewed following the latest finance position.</p> <p>With regards to RAAC, it was noted that this risk would be captured under Aging Infrastructure (3051) and the score would be updated through the Estates and Facilities Directorate and the Finance Planning and Performance Committee.</p> <p>Mr Neil confirmed the new Chief Risk Officer had been appointed and will be in post from October 2023. It was noted that their first task will be to work with services to carry out a review of all current risks.</p> <p>The Committee were content to approve the CRR.</p> <p><u>APPROVED</u></p>	

			ACTION BY
56.	Whistleblowing Quarter 1 Report		
	<p>The Committee considered the paper 'Whistleblowing Quarter 1 Report' [Paper No. 23/43] presented by Ms Kim Donald, Corporate Services Manager - Governance.</p> <p>Ms Donald highlighted the performance across Stage 1 and Stage 2, noting the challenges with regarding to the 20 working day turnaround for Stage 2 cases which were often complex.</p> <p>Mr Vincent also explained that he has discussed Stage 2 performance with the INWO and believes assurance around this is important, noting the need for an exemption report to flag to ARC any cases closed above 30 days and the reason for this. Ms Donald agreed this would be included in future reports.</p> <p>Ms Donald noted Speak Up! Week was scheduled for 2-6 October and she was working closely with HR colleagues and Mr Vincent to ensure that there is a robust timetable in place.</p> <p>Mr Vincent highlighted that the Annual Report had been removed from the website due to concerns raised by the INWO regarding data protection. The Committee were assured that Ms Donald was taking this forward with Information Governance colleagues and working with the INWO to ensure that the report remains appropriately transparent.</p> <p>In response to a query regarding the numbers in Table 1 of the report, Ms Donald confirmed she would review and circulate the document again with confirmation of figures.</p> <p><u>ASSURED</u></p>		Ms Donald
			Ms Donald
57.	Closing Remarks and Key Messages for the Board		
	<p>The Chair thanked those present for attending the meeting and advised that the key messages for the Board would be prepared from the Minute.</p> <p><u>NOTED</u></p>		
58.	Date and Time of Next Scheduled Meeting		
	<p>The next meeting would be held on Tuesday 12 December 2023 at 9.30 am via MS Teams.</p>		