

Midlothian Integration Joint Board Audit & Risk Committee



2 December 2021 at 2pm

The Principles to Underpin the Working Relationship between Partners' Audit Committees

Item number: 5.7

Executive summary

The purpose of the report is to share with the MIJB Audit and Risk Committee the updated Principles to Underpin the Working Relationships between Partners' Audit Committees.

The MIJB Audit and Risk Committee members are asked to:

- a) Agree to the Principles to Underpin the Working Relationships between Partners' Audit Committees that are set out in Appendix 1; and**
 - b) Note how this will work in practice for each Principle, as set out in Appendix 1.**
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The Principles to Underpin the Working Relationships between Partners' Audit Committees

1 Purpose

- 1.1 The purpose of the report is to share with the MIJB Audit and Risk Committee the updated Principles to Underpin the Working Relationships between Partners' Audit Committees.

2 Recommendations

- 2.1 The MIJB Audit and Risk Committee members are asked to:
- a) Agree to the Principles to Underpin the Working Relationships between Partners' Audit Committees that are set out in Appendix 1; and
 - b) Note how this will work in practice for each Principle, as set out in Appendix 1.

3 Background and main report

- 3.1 The Principles to underpin the working relationships between the Lothian NHS Board Audit & Risk Committee and the Integration Joint Boards' Audit & Risk Committees are set out in Appendix 1.
- 3.2 The Principles are:
- 1) The IJB Audit & Risk Committees and the Lothian NHS Board Audit & Risk Committee have an effective working relationship to take forward matters of common interest.
 - 2) To support the efficient conduct of business, there is a clear communication process from the IJB Audit & Risk Committee to the Lothian NHS Board Audit & Risk Committee, and vice versa.
 - 3) The reports from the Lothian NHS Board internal audit function shall be readily available to the IJB audit & risk committees. The reports from the IJB internal audit functions shall be readily available to the Lothian NHS Board audit & risk committee.
 - 4) NHS Lothian and the respective Council's will work together to support the IJB Internal Audit plans.
- 3.3 How this will work in practice is set out in the Appendix 1 associated with each Principle.

4 Directions

- 4.1 There are no Directions implications arising from this report.

5 Equalities Implications

- 5.1 There are no direct equalities implications arising from this report.

6 Resource Implications

- 6.1 There is a commitment to provide Internal Audit resource to the Midlothian Health and Social Care Integration Joint Board (MIJB) for review of the adequacy of the arrangements for risk management, governance and control by the MIJB of the delegated resources.
- 6.2 Internal Audit service is provided by Midlothian Council's Internal Audit team which has a shared service arrangement with Scottish Borders Council, including the appointed MIJB Chief Internal Auditor, with support from NHS Lothian Internal Audit team.

7 Risk

- 7.1 The Midlothian Integration Joint Board (MIJB), established as a separate legal entity as required by the Public Bodies (Joint Working) (Scotland) Act 2014, is responsible for the strategic planning and commissioning of a wide range of integrated health and social care services across the Midlothian partnership area, based on resources which have been delegated to it by the partners, Midlothian Council and NHS Lothian.
- 7.2 The MIJB is therefore expected to operate under public sector good practice governance arrangements which are proportionate to its transactions and responsibilities to ensure the achievement of the objectives of Integration. The establishment of robust Risk Management and Audit arrangements is one of the key components of good governance and will be critical to the capacity of the MIJB to function effectively.
- 7.3 In addition to its own governance arrangements, the MIJB places reliance on the governance arrangements adopted by NHS Lothian and Midlothian Council, the partners. Where appropriate, existing mechanisms embedded within both NHS Lothian and Midlothian Council have been used to provide assurance to the MIJB.

8 Involving people

- 8.1 The Chair of the MIJB Audit and Risk Committee, Cllr Jim Muirhead, and the MIJB Chief Internal Auditor, Jill Stacey, attended an IJB Principles Workshop on 19 October 2021 which acted as an engagement forum for the Chairs of IJB Audit Committees and Chief Internal Auditors of the NHS Lothian and 4 associated IJBs. The proposed updates to the IJB principles were discussed, and an updated version of the IJB Principles was submitted on 25 October 2021 for presentation to the Partners' Audit Committees.

9 Background Papers

- 9.1 None

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