

MINUTES

**Minutes of the Governance and Audit Committee
Thursday 10 April 2014 at 10 am,
held in 5th Floor Meeting Room,
Linenhall Street, Belfast, BT2 8HS**

PRESENT:

Mrs Julie Erskine	(Chair)
Alderman Paul Porter	Non-Executive Director
Mr Brian Coulter	Non-Executive Director
Mrs Miriam Karp	Non-Executive Director

IN ATTENDANCE:

Mr Edmond McClean	Director of Operations
Miss Rosemary Taylor	AD Planning & Operational Services
Mr Simon Christie	AD Finance, HSCB
Mr Gary Christie	Northern Ireland Audit Office
Ms Laura Allen	Pricewaterhouse Coopers
Mrs Catherine McKeown	Internal Audit, BSO
Mr David Charles	Internal Audit, BSO
Mr Mark Anderson	Sponsor Branch, DHSSPSNI
Ms Sharon Beattie	SBNI (For Item 13)
Mrs Oriel Brown	PHA, (For item 14)
Mrs Cathy McAuley	Secretariat

APOLOGIES:

Mr Thomas Mahaffy	Non-Executive Director
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23/14 | Item 1 – Welcome and Apologies

Mrs Erskine welcomed everyone to the meeting and noted apologies from Mr McMahaaffy.

24/14 | Item 2 – Declaration of Interests

Mrs Erskine asked if anyone had any interests to declare relevant to any items on the agenda.

None were declared.

25/14 Item 3 – Chair’s Business

Mrs Erskine said HSC 17/2014 circular HSC Audit and Risk Assurance Committee Handbook was available for information.

Mrs Erskine said she had attended the IGSG meeting on 26 March 2014.

Mrs Erskine said she had attended a meeting with Internal Audit earlier today re: IA Plans for 2014/15.

26/14 Item 4 – Minutes of the GAC Meeting held on 5 December 2014

Members agreed the minutes of the GAC meeting held on 6 February 2014 as an accurate record of the meeting.

27/14 Item 5 – Matters Arising

19/4: All items were brought to the PHA Board meeting for approval.

28/14 Item 6.1 – Assurance Framework

Mr McClean presented the PHA Assurance Framework report 2013/15 as reviewed at April 2014 to members. Members were asked to approve the amendments to the Assurance Framework 2013-15 as at 1 April 2014.

Members approved the amendments to the PHA Assurance Framework.

29/14 Item 6.2 – Risk Management Strategy and Policy

Miss Taylor presented the strategy and policy and said updates made included strengthening the risk appetite section and updating the regional HSC matrix and impact table.

Members approved the strategy and policy.

Alderman Porter arrived at 10.15 am.

30/14 Item 6.3 – CAS Compliance Report

Miss Taylor advised the process was now complete for 2014/15 and presented draft scores along with comparisons for the previous three years. She added the CAS assessment scores would be submitted to the DHSSPS and would also be included in the PHA Governance Statement.

Mrs Erskine thanked Miss Taylor and her team in achieving substantive compliance.

Members noted the report.

31/14 Item 7 – Information Governance Update

Controls Assurance Standard (CAS) – Miss Taylor updated members on the new information governance CAS. A self-assessment has been carried out against the standards, achieving 78% compliance. She added that confirmation is awaited from DHSSPS on exemption from criteria 18-27 (relating to clinical records). An action plan will be developed to address gaps in compliance.

E-Learning Training - Miss Taylor said the PHA was advised at the last Regional Information Advisory Group that the pass mark should be 80% (not 100%). The remaining modules will be rolled out when the Leadership Centre amends the programme.

FOI Request – Miss Taylor said 16 new FOI requests had been received between 6/9/13 – 20/3/14. Mrs Karp asked if comparative data for FOIs was available. Miss Taylor replied the numbers are similar to last year, 39 requests during 2013/14 compared to 27 in 2012/13.

Miss Taylor said one FOI had been made to the Information Commissioners Office (ICO) following their

investigation the ICO found that the PHA had responded to the initial request appropriately given the sensitive nature of the complaint. The complainant subsequently withdraw their complaint. Mr McClean said the learning and findings report from this would be brought to the PHA Board meeting.

Members noted the update.

32/14 Item 8.1 – Internal Audit Progress Report

Mr Charles gave an overview of the progress report against the 2013/14 Internal Audit Plan and audit summaries of the final audit reports since the last meeting; this included Governance: Board Effectiveness and Gifts and Hospitality and Financial Review.

Report 1 – Board Effectiveness and Gifts and Hospitality 2013/14.

No priority 1 weaknesses were identified. Four priority 2 weaknesses were identified during the audit. A satisfactory level of assurance was provided and all recommendations have been accepted by management.

Mrs Erskine expressed her concern about the lack certificates for attendance at “On Board” training courses. Mr Coulter said following his recent training as a new member he did receive a certificate of attendance, indicating this was now resolved.

Mr Coulter asked why the issue of the MOU between the PHA and the HSCB has yet to be completed. Mr McClean said the groundwork had been completed and the PHA were awaiting the HSCB to sign the document.

Mr Coulter asked the importance of finalising this document to the auditors. Mrs McKeown said the relationships of the services and roles provided by both organisations with HSCB/PHA did have the potential to overlap and stressed the importance of finalising and agreeing the draft MOU.

Mr McClean

Members agree they would ask for this document to be finalised. Mr McClean will raise this matter with the Chief Executive.

Members noted the report.

Report 2 – Financial Review 2013/14.

One priority 1 and seven priority 2 weaknesses were identified.

Mrs Erskine expressed her concern that the priority 1 weakness identified (procurement of training for delivery of SBNI Learning Together Foundation Course) was outside the remit of the PHA. It was clarified SBNI finances come through PHA and Mr S Christie assured the committee that operations colleagues continue to work closely with SBNI to ensure that they are aware of all relevant policies and procedures.

Mrs Erskine expressed her concern and frustration about the lack of guidance being made available to staff in relation to staff travel claims. Miss Taylor advised members that new arrangements had become effective in July 2013 but despite repeated requests updated guidance has not been received from BSO.

Mrs McKeown said that Internal Audit had recognised the situation, and noted this was partially implemented and that the PHA had endeavoured to rectify this matter in the year-end follow-up report.

Mrs Erskine expressed her concern regarding the tax implications this would have upon staff.

The committee agreed that Mr McClean would raise this at AMT with the Director of HR, BSO.

Mr McClean

33/14 Item 8.2 – Year End Follow Up 2013/14

Mr Charles advised that progress has been made and 90% of the recommendations have now been implemented.

Members noted the report.

34/14 Item 8.3 – Strategy Incorporating the Proposed Internal Audit Plan for 2014/15

Mrs McKeown presented the proposed Internal Audit plan for 2014/15 and gave an overview of the proposed work schedule.

Members approved the Internal Audit Plan.

35/14 Item 9.1 – Finance: Report To Those Charged With Governance Progress Report.

Mr Christie presented the progress report on the implementation of recommendations of the report to those charged with governance and said two observations were partially implemented and these would be addressed in the BSTP update.

Members noted the report.

Item 9.2 – Fraud Liaison Officer Update Report

Mr S Christie advised there were no new or live cases to report.

35/15 Item 9.3 – BSTP Update

Mr Christie presented the BSTP update. He said that progress is being made although there were some inaccuracies in reports from the systems. He outlined the continuous review of the quality of financial information.

Mr S Christie said there continues to be issues with the timely interface of the FPL system which includes delayed interfacing, accuracy and incorrect coding. He added this was formally escalated to the Director of BSO Customer Care & performance, and as the reply did not address all the issues raised this was followed up and a response is awaited.

During a discussion regarding shared services Mr Porter asked if the PHA was at risk as a small organisation. Mr S Christie responded by assuring members that he was mindful of this, but content that the systems were now embedded within HSCB/PHA, and that good working relationships and networks have been built with BSO colleagues over the past year and that BSO are aware of the high standards expected by PHA.

Mrs Erskine thanked Mr S Christie and his team for the volume of work undertaken throughout the past year.

Members noted the BSTP update.

37/14 Item 10 – Draft Governance Statement

Mr McClean presented the draft Governance Statement highlighting section 9: Internal Governance Divergences. Mr G Christie suggested that Board performance and the management of conflicts of interest are should be strengthened in the document.

Subject to minor amendments members approved the draft statement and recommended it for approval to the next PHA confidential board meeting.

Mr McClean

38/14 Item 11 – GAC Annual Report

Mrs Erskine presented the GAC Annual Report which outlined the key activities of the Committee during 2013/14.

Members noted the report.

39/14 Item 12 – Draft Annual Report

Mr McClean shared the draft Annual Report with members and said the report would then go to the confidential session of the next PHA Board meeting on 17th April.

Members approved the draft report subject to minor

Mr McClean

amendments.

Item 13 – SBNI Declaration of Assurance

Mrs Beattie joined the meeting and gave members a summary of the SBNI Declaration of Assurance. She began by saying the purpose of the assurance statement is to attest the effectiveness of the internal controls system in accordance with Departmental guidance. She said the Minister made a statement in the Assembly in late September 2013 of his intention to direct the SBNI to undertake the Thematic Review.

Mrs Karp asked about the undertaking of the Thematic Review and the possibility of this happening again. Mrs Beattie said it was possible but highly unlikely that the SBNI would be asked to undertake another Thematic Review under similar circumstances.

Mrs Karp asked a question relating to concerns of perceived membership which had been noted at the Health Committee and the importance of mitigating the reputational risk in the future. Mrs Beattie said the SBNI had sought independent legal advice on the perceived conflict and a small sub group had been set up to review the findings and that this information had been shared with the Department.

Members noted the report.

Mr Anderson left the meeting at 11.45am.

Item 14 - Review of Venous Thromboembolism (VTE) Incidents Reported to Health and Social Care Board as Serious Adverse Incidents

Mrs Brown joined the meeting and gave members an overview of the main findings of the VTE report, the key regional learning and actions taken. She began by noting a review of reported SAI's in which patients suffered VTE was requested by the PHA/HSCB, Quality Safety and Experience Group on 6 December 2013. She said a review of all SAI's reported to the HSCB and recorded in Datix System for Acute POC from 1 May

2010 to 22 November 2013 was conducted and the review had identified three reported SAI's reporting to VTE and that all three patients had died. In conclusion all 3 reports showed that either a risk assessment had not been undertaken or appropriate prophylactic treatment was not prescribed in line with NICE Guidelines.

Mr Porter left the meeting at 11.50am.

Mr Coulter asked a question relating to the monitoring systems for families. Mrs Brown advised trusts are required to involve and communicate with families. Documentation has been updated to enable PHA/HSCB to monitor this.

Mrs Karp asked if Mrs Brown was content with the current staffing levels. Mrs Brown replied that she would welcome more staff, as this would enable the team to spend more time on the analysis, overview and management of the SAI's process.

Members noted the report.

40/14 Item 15 – Items to be brought to PHA Board

GAC/10/04/14 - Draft Governance Statement

GAC/12/04/14 – Draft Annual Report

Mr McClean

41/14 Item 16 – Date of next meeting

Date: 11 June 2014

Time: 1:00 pm

Venue: Conference Room 2 & 3
2nd Floor, 12-22 Linenhall Street
Belfast
BT2 8HS

Signed: _____



Date: 11 June 2014
