

**Minutes of the Governance and Audit Committee Meeting
11 October 2012, at 10:00 am, Conference Rooms 1 & 2,
2nd floor Linenhall Street, Belfast, BT2 8BS**

Present:

- Mrs J Erskine - Chair
- Mr T Mahaffy - Non Executive Director
- Mr R Orr - Non Executive Director

In Attendance:

- Mr E McClean - Director of Operations
- Miss R Taylor - AD Planning & Operational Services
- Mr S Christie - AD Finance, HSCB
- Mr B McCambridge - Northern Ireland Audit Office
- Mr David Charles - Internal Audit, BSO
- Mr M Pitt - Pricewaterhouse Coopers
- Mr M Anderson - DHSSPSNI
- Mr I McClure - DHSSPSNI

- Mrs C McAuley - Secretariat

- Apologies:** - C McKeown, P Cummings, M Hinds, E Rooney

52/12	Item 1 - Welcome and Apologies	Action
52/12.1	The Chair welcomed members and noted apologies from Mrs Hinds, Mrs McKeown, Mr Cummings and Dr Rooney.	
53/12	Item 2 - Declaration of Interest	
53/12.1	The Chair asked if anyone had interests to declare relevant to any items on the agenda. None were declared.	
54/12	Item 3 - Chair's Business	
54/12.1	The Chair welcomed Mr McClure and Mr Anderson Sponsor branch, DHSSPS, Mr McCambridge on behalf of Mr Linn, NIAO, Mr Christie on behalf of Mr Cummings, HSCB and Mr Charles on behalf of Mrs McKeown, Internal Audit to today's meeting.	
54/12.2	<u>Audit Training Record Forms</u> The Chair thanked members for completing and returning the training records forms and asked members whose	

remained outstanding to complete and return these to the Secretariat.

54/12.3 The Chair informed members of recent engagements she had attended, including the GAC Training Workshop and the HSC Audit Chairs Committee DHSSPS meeting.

55/12 Item 4 - Minutes of previous meeting

55/12.1 Members agreed the minutes of the GAC meeting held on 7 June 2012 as an accurate record. The minutes were duly signed by the Chair.

56/12 Item 5 - Matters Arising

56/12.1 37/12: Training

Audit training forms to be completed and returned as soon as possible

56/12.2 39/12: Internal Audit Strategy, Charter and TOR for IA Partnership Forum

The minutes of these meeting will be brought to next GAC meeting.

57/12 Item 6 - Corporate Governance PHA Corporate Risk Register GAC/37/10/12 (For Noting)

57/12.1 Mr McClean presented the Corporate Risk Register as at the 30 June 2012 for noting. He confirmed one new risk was added, 'PHA Belfast Accommodation' with a 'high' risk grading and three risks were removed and de-escalated to the Operations Directorate Risk Register.

- Information Governance
- Inadequate Finance, Procurement and IT Support.
- Accommodation in Ormeau Avenue

57/12.2 Mrs Erskine advised that amendments following the GAC meeting 7 June had been incorporated into the register.

57/12.3 Members noted the report.

58/12 Item 6.1 - PHA Assurance Framework GAC/38/10/12 (For Approval)

58/12.1 Mr McClean presented the PHA Assurance Framework to the meeting for Approval.

C McKeown

- 58/12.2 He advised the PHA has a duty to carry out its responsibilities within a system of effective control and in line with the objectives set by the Minister.
- 58/12.3 Members approved the PHA Assurance Framework.
- 59/12 Item 6.2 - PHA Gifts and Hospitality Policy GAC/39/10/12 (For Approval)**
- 59/12.1 Miss Taylor presented the PHA Gifts and Hospitality Policy to the meeting for Approval. She summarised the document and advised members that the register will be brought annually to this committee.
- 59/12.2 Members approved the policy.
- 60/12 Item 6.3 - Incident and Near Miss Reporting Policy and Procedure GAC/40/10/12 (For Approval)**
- 60/12.1 Miss Taylor presented the Incident and Near Miss Reporting Policy and Procedure to the meeting for Approval.
- 60/12.2 Members approved the policy subject to minor amendment.
- 61/12 Item 6.4 - Controls Assurance Update GAC/41/10/12 (For Noting)**
- 61/12.1 Miss Taylor presented the Controls Assurance Update to the meeting for noting.
- 61/12.2 Miss Taylor advised following Ms K Jeffrey's letter of 6 September setting out the DHSSPS requirement for 2012-13 that HSC organisations are to achieve substantive compliance in each of the 22 standards. The compliance level is 75% and as the PHA provides a largely administrative function 15 of the 22 standard will be directly applicable for this period. The DHSSPS in addition has determined that the following standards will be subject to independent verification by Internal Audit;
- Governance
 - Risk Management
 - Financial Management
 - Management of Purchasing and Supply
- 61/12.3 Members noted the update.

R Taylor

**62/12 Item 7 - Information Governance Action Plan Update
GAC/42/10/12 (For Noting)**

62/12.1 Miss Taylor presented the PHA Information Governance Action Plan to the meeting for noting.
Miss Taylor advised that progress was being made in respect of the Register of Data Access Agreement, developing register of information assets, carrying out risk assessments of the Information Assets/Information flows.

62/12.2 Members noted the report.

63/12 Item 7.1 - IT Security Policies GAC/43/10/12 (For Approval)

63/12.1 Miss Taylor presented IT Security policies to the meeting for approval. Mr McClean advised members the ICT Security Policy applies to all staff. However he also advised members that designated communications staff have a specific business need for the use of the internet to stream media, face book and utube sites and that appropriate protocols need to be put in place for these staff.

E McClean

63/12.2 Members approved the policies.

64/12 Item 8 - Internal Audit Plan 2012/13 (GAC/44/10/12)

64/12.1 Mr Charles gave a progress report on internal audit work update, including the PHA management of contracts within the centre for connected health and social care, Safety Forum, follow up on previous internal audit recommendations.

64/12.2 Mrs Erskine referred to page 25; Section Payroll Information, the last line and highlighted an administrative issue error and asked if the wording to be changed.

D Charles

64/12.3 Members approved the report.

65/12 Internal Audit Mid Year Assurance Statement

65/12.1 Mr Charles presented the Internal Audit Mid Year Assurance Statement for noting. He advised that limited assurance had been given and that no priority one weaknesses were identified and that 77% of the recommendations examined had been fully implemented and further 21% were partially implemented at the time of

- the review and 2% had not yet been implemented.
- 65/12.2 Mrs Erskine highlighted her concern regarding the audit where 'limited' assurance is being given. She also noted that a second draft report was received mid September. Mr Charles advised the first initial draft was issued on 21 August. Mr McClean said that in terms of accuracy it should be noted that what is seen in the second draft report is different from what was presented in initial draft of 21 August following clarification and confirmation that significant work had been addressed.
- 65/12.3 Members noted the internal audit mid year report.
- 66/12 PHA 2012/13 Report to those charged with Governance (GAC/46/10/12)**
Mr Christie presented the PHA progress report to those charged with governance to members and summarised the report to members.
- 66/12.1 Members noted the report.
- 67/12 Fraud Update (GAC/47/10/12)**
Mr Christie gave a verbal briefing of the report which detailed no new cases of actual or suspected fraud since the last report to the GAC Committee.
- 67/12.1 The report was noted.
- 68/12 Business Services Transformation Project (BSTP) (GAC/48/10/12)**
Mr McClean gave a verbal summary of the report to ensure GAC members were aware of the emerging issues within the BSTP project.
- 68/12.1 The report was noted.
- 69/12 Mid Year Assurance Statement(GAC/49/10/12)**
Mr McClean gave a verbal summary of the report which detailed the organisation's implementation of accepted audit recommendations Controls Assurance Action Plans and Risk Register Action Plans.
- 69/12.1 Members approved the Mid Year Assurance Statement for presentation to the next PHA board meeting.

70/12 Safeguarding Board for NI (SBNI)(GAC/50/10/12)
Mr McClean presented the memorandum of understanding (MOU) between the DHSSPS, PHA and SBNI dated 11 September. Mr McClean advised the MOU sets out that the PHA is the corporate host for SBNI and that the SBNI are responsible directly to the DHSSPS in respect of their functions and performance.

70/12.1 Members noted the report.

71/12 Date, Time and venue of next meeting
13 December at 8.30 am,
Public Health Agency
Conference Room
Ormeau Baths
Belfast
BT2 8BS