

Governance and Audit Committee Meeting

Monday 9 April 2018 at 9.30am

Fifth Floor Meeting Room, 12-22 Linenhall Street, Belfast

Present

Mr Leslie Drew - Chair
Ms Deepa Mann-Kler - Non-Executive Director

In Attendance

Mr Ed McClean - Interim Deputy Chief Executive / Director of Operations
Miss Rosemary Taylor - Assistant Director, Planning and Operational Services
Ms Una Turbitt - Assistant Director, Public Health Nursing
Mr Paul Cummings - Director of Finance, HSCB
Ms Jane Davidson - Head Accountant, HSCB
Mrs Catherine McKeown - Internal Audit, BSO
Mr Brian Clerkin - ASM
Mr Robert Graham - Secretariat

Apologies

Mr Denver Lynn - Northern Ireland Audit Office

		Action
14/18	Item 1 – Welcome and Apologies	
14/18.1	Mr Drew welcomed everyone to the meeting.	
15/18	Item 2 - Declaration of Interests	
15/18.1	Mr Drew asked if anyone had interests to declare relevant to any items on the agenda. No interests were declared.	
16/18	Item 3 – Minutes of previous meeting held on 22 February 2018	
16/18.1	The minutes of the previous meeting, held on 22 February 2018 were approved as an accurate record of that meeting.	
17/18	Item 4 – Matters Arising	
17/18.1	There were no matters arising.	

18/18	Item 5 – Chair’s Business
18/18.1	There was no Chair’s business.
19/18	Item 6 – Corporate Governance
	<i>Assurance Framework 2017-19 Review as at April 2018 [GAC/12/04/18]</i>
19/18.1	Mr McClean said that the Assurance Framework had been revised and that the amendments made were mostly straightforward.
19/18.2	Ms Mann-Kler asked why the supervision of midwives had been removed. Mrs Turbitt explained that PHA is no longer the local supervising authority.
19/18.3	Ms Mann-Kler noted that the Board would receive bi-annual updates on Performance Management, rather than quarterly. Miss Taylor said that this had been discussed at the recent Board workshop, and that it would be more realistic to provide the updates in September and May of each year. Mr McClean added that if there are any areas of concern, they could be brought to the attention of the Board. Mrs McKeown suggested that some wording could be included in the Assurance Framework regarding exception reporting. This was agreed by members.
19/18.4	Members approved the Assurance Framework, which will be brought to the next meeting of the PHA Board on 19 April.
	<i>Business Continuity Management revised Plan and Policy [GAC/13/04/18]</i>
19/18.5	Mr McClean said that the Business Continuity Plan had been updated to include references to cyber security. However, he added that the Plan is constantly under review.
19/18.6	Mr McClean informed members that a test had been carried out which involved a cyber security related scenario.
19/18.7	Mr Drew said that he thought that the Plan was very robust.
19/18.8	Members approved the Business Continuity Management Plan and Policy, which will be brought to the next meeting of the PHA Board on 19 April.
	<i>Health and Safety Policy as at February 2018 [GAC/14/04/18]</i>
19/18.9	Miss Taylor advised that the main revisions to the Health and

Safety Policy related to removing references to Alexander House and Ormeau Baths and inserting relevant reference to Linum Chambers.

19/18.10 Ms Mann-Kler asked if this policy related to physical or mental health wellbeing, but Miss Taylor explained that it related to physical health and safety.

19/18.11 Members approved the Health and Safety Policy.

20/18 Item 7 – Internal Audit

Internal Audit Progress Report [GAC/15/04/18]

20/18.1 Mrs McKeown advised that a satisfactory level of assurance had been given to PHA following the recent Finance audit. She said that there were no significant issues, but that there were three key findings, two of which related to manual payments and one to the number of “super users” within HSCB and PHA. She said that management had accepted all of the recommendations within the audit.

20/18.2 Mr Drew asked if manual payments increased the risk of duplication. Ms Davidson said that this issue was also raised within the HSCB audit, and that there are monthly checks.

20/18.3 Mr Drew asked about the number of “super users”. Ms Davidson said that there are arrangements in place to monitor any changes to the access rights of “super users”.

20/18.4 Members noted the Internal Audit Progress Report.

Internal Audit End Year Follow up on Previous Recommendations [GAC/16/04/18]

20/18.5 Mrs McKeown said that the most recent review showed that 73% of previous Priority 1 and Priority 2 recommendations had now been fully implemented, with the remainder being partially implemented. She noted that some of the recommendations in the areas of R&D and procurement relate to 2014/15. Mr Drew noted the comment about insufficient evidence for one of the R&D recommendations. Mrs McKeown said that Internal Audit has been informed that the recommendation has been implemented, but does not have the supporting evidence.

20/18.6 Ms Mann-Kler noted that many of the recommendations have a deadline of August. Mrs McKeown said that as the next review will be carried out in September, August has been set as a default month for completion.

- 20/18.7 Members noted the year-end report.
Internal Audit Shared Services [GAC/17/04/18]
- 20/18.8 Mrs McKeown presented the report on the audit of the BSO Shared Services Recruitment service, which is being brought to the PHA Governance and Audit Committee for information. She advised that the most recent audit had achieved a satisfactory level of compliance, although 5 KPIs out of 8 are still not being achieved.
- 20/18.9 Mr Drew noted that the impact of delays in recruitment may not be as severe for PHA as it is for Trusts, but Mr McClean pointed out that if PHA is allocating programme funding to a Trust who are recruiting staff to undertake the initiative, there would be an issue for PHA.
- 20/18.10 Members noted the Shared Services audit.
Internal Audit Strategy and Plan [GAC/18/04/18]
- 20/18.11 Mrs McKeown said that the Internal Audit Strategy for 2018/19 outlined the approach for which audits will be undertaken this year. She said that the Plan, which is the second year of a two year Plan, has been updated in line with the most recent Corporate Risk Register. She advised that the audits being carried out will be in the areas of finance, management of contracts with the community and voluntary sector, PPI, risk management, information governance, including compliance with GDPR, and management of vaccination programmes.
- 20/18.12 Mr Drew said that he felt the Plan covered all of the areas that he would expect to see covered, but asked about what may replace the Controls Assurance Standards. Miss Taylor said that there had been correspondence issued by the Department of Health, and it is likely that there will be different approaches taken by different policy leads, but she hoped that there would be more clarity by the time of the June Governance and Audit Committee meeting.
- 20/18.13 Members approved the Internal Audit Strategy and Plan.
- 21/18 Item 8 – Finance**
Fraud Liaison Officer Update Report [GAC/19/04/18]
- 21/18.1 Mr Cummings advised that Payroll Shared Services and Accounts Payable have carried out their obligations under the National Fraud Initiative, but no evidence of fraud was found.

- 21/18.2 Mr Cummings said that on PSNI advice, the Chair of the relevant charity has been asked to investigate the allegations of fraud and that the charity has been asked to report back to PHA within one month.
- 21/18.3 Mr Drew asked if PHA can carry out an audit of an organisation to which it has provided grant aid funding. Mr Cummings said that PHA would report any concerns to the Charities Commission.
- 21/18.4 Members noted the Fraud Liaison Officer update.
- 22/18 Item 9 – PHA GAC Annual Report [GAC/20/04/18]**
- 22/18.1 Mr Drew presented the GAC Annual Report which covered the range of work undertaken by the Committee. Mrs McKeown pointed out a change that was required in terms of the year of the Internal Audit Plan.
- 22/18.2 Members noted the Report, which will be brought to the PHA Board meeting on 19 April.
- 23/18 Item 10 – Draft PHA Annual Report [GAC/21/04/18]**
- 23/18.1 Mr McClean said that this draft Annual Report is laid out in the format required, however in an attempt to avoid duplication, the Chair and Chief Executive statements have been merged into a single statement.
- 23/18.2 Mr Drew said that it was a very good document, and although there still remained some duplication, it was heading in the right direction.
- 23/18.3 Ms Mann-Kler noted that although the take up rates for bowel cancer screening remained lower than those of other screening programmes, work has been done to improve these rates and this should be reflected in the Report. Mr McClean pointed out that one reason for the low take up is the absence of a public information campaign in this area.
- 23/18.4 Mr Cummings said that there have been changes to the PHA Board which should be reflected in this Report.
- 23/18.5 Subject to some amendments, members approved the draft Annual Report, which will be brought to a confidential session of the PHA Board on 19 April.

24/18	Item 11 – Draft PHA Governance Statement [GAC/22/04/18]	
24/18.1	Mr McClean presented the draft Governance Statement and drew members' attention to the internal control divergences.	
24/18.2	Mr Drew asked about Board member representation on the Information Governance Steering Group. Miss Taylor advised that this would previously have been Brian Coulter. Mr Drew agreed to identify a replacement NED.	
24/18.3	Members approved the draft Governance Statement, which will be brought to a confidential session of the PHA Board on 19 April.	
25/18	Item 12 – Emergency Planning [GAC/23/04/18]	
	<i>Emergency Preparedness – Joint Annual Report</i>	
25/18.1	Mr Drew welcomed Ms Mary Carey to the meeting and invited her to take members through the suite of papers relating to emergency planning.	
25/18.2	Ms Carey began with the Emergency Preparedness Annual Report for 2016/17. She advised that the 2017/18 Report will be available for the next meeting of the Committee.	Ms Carey
25/18.3	Ms Carey advised that a report on a chemical emergency preparedness exercise from February 2017 was also included in the Report. She assured members that all outstanding actions have been completed.	
25/18.4	Ms Mann-Kler acknowledged the amount of work required in this area and in the compilation of this Report. Mr Drew asked about the reference to meetings not being quorate. Ms Carey said that there had been a period where this was an issue, but now the meetings are back on track.	
25/18.5	Mr Drew asked how an assessment could be made of the emergency preparedness across the whole health sector. Ms Carey said that the Department would have a monitoring responsibility through the Controls Assurance Standards, and that there is a meeting with the Department tomorrow regarding how this will be addressed from 1 April 2018. She added that HSCB would have oversight.	
25/18.6	Mr Drew noted that there is a budget of £30k and asked what this related to. Ms Carey explained that this is a training budget for HSCB, PHA and Trusts. Mr Drew commented that for the whole HSC this is a small budget and he said that he would be keen that this is flagged up as an issue.	

- 25/18.7 Ms Mann-Kler suggested that with the legacy of the Troubles, Northern Ireland should be well prepared for emergency type situations. Ms Carey said that the infrastructure has changed so much, but that in recent years emergency planning has begun to move up Trusts' agendas as a priority area. She said that bespoke training has been organised to get HSC staff up to the same level of expertise as the rest of the UK.
- 25/18.8 Members approved the joint annual report which will be brought to the PHA Board meeting on 19 April.
- Joint Response Emergency Plan Mass Casualty Plan*
- 25/18.9 Ms Carey advised that the Joint Response Emergency Plan has been updated since 2015 and highlighted some of the key changes. She said that a Mass Casualty Plan has been developed and appended to the document following the tragic incidents in the UK in 2017. She added that a desktop exercise of this Plan was carried out in December 2017.
- 25/18.10 Members approved the Joint Response Emergency Plan Mass Casualty Plan.
- PHA Port Health Plan*
- 25/18.11 Ms Carey said that the Port Health Plan had been developed in consultation with port health representatives. She added that Public Health England are currently reviewing their plan and therefore PHA's plan may be subject to change. Mr Drew asked about how the monitoring of ports is resourced. Ms Carey explained that there are environmental health officers in local Councils who work in the port health offices.
- 25/18.12 Members approved the Port Health Plan.
- 26/18 Item 13 – Any Other Business**
- There was no other business.
- 27/18 Item 14 – Date and Time of Next Meeting**
- Wednesday 6 June 2018 at 10am*
- Conference Rooms 3 and 4, 2nd Floor, 12/22 Linenhall Street, Belfast.*

Signed by Chair:

Leslie Drew

Date: 6 June 2018