



## Risk, Audit & Performance Committee - Duties & Annual Plan

**Review Date:** July 2020 (submitted RAP 26<sup>th</sup> August 2020)

### Purpose of the Document

This document provides an overview of the duties of the Risk, Audit and Performance Committee (RAPC) and indicates when the duty was fulfilled for the financial year 2019/20. It further provides a plan for fulfilment of the same duties for the financial year 2020/21. Please note that the Risk, Audit and Performance Committee was suspended on the 23<sup>rd</sup> March 2020 due to the Covid-19 pandemic, therefore the Integration Joint Board (IJB) Meetings which took place on the 12<sup>th</sup> May and 9<sup>th</sup> June 2020 have been included in this report.

### Duties & When Considered

The Committee will review the overall Internal Control arrangements of the Board and make recommendations to the Board regarding signing of the Governance Statement, having received assurance from all relevant Committees.

Specifically, it will be responsible for the following duties:

Duty	2019/20					Comments
	300419	280519	200819	291019	250220	
<b>Audit</b> 1. Review and approve the annual audit plans (internal and external) on behalf of the IJB, receiving reports, overseeing and reviewing actions taken on audit recommendations and		X			X	Internal Audit Plan May, External Audit Plan February



Duty	2019/20					Comments
	300419	280519	200819	291019	250220	
escalating to the IJB as appropriate.						
2. Monitor the annual work programme of Internal Audit, including ensuring IJB oversight of the function and programme to ensure this is carried out strategically.		X		X	X	Internal audit reports and Internal audit annual report
3. Be aware of, and act on, Audit Scotland, national and UK audit findings and inspections/regulatory advice, and to confirm that all compliance has been responded to in timely fashion.		X		X	X	Horizon-scanning activity to be undertaken prior to each RAP committee. Any relevant reports and recommendations will be taken to committee.
4. The Committee shall present the minute of its most recent meeting to the next meeting of the IJB for information only.	X	X	X	X	X	Ongoing
<b>Performance</b>						
5. Review and monitor the strategy for performance the performance of the Partnership towards achieving its policy objectives and priorities in relation to all functions of				X	X	Performance monitoring quarterly to RAPC/CCGC alternatively (RAPC considers Personalisation & Communities).



Duty	2019/20					Comments
	300419	280519	200819	291019	250220	
the IJB. This includes ensuring that the Chief Officer establishes and implements satisfactory arrangements for reviewing and appraising service performance against the national health and wellbeing outcomes, the associated core suite of indicators and other local objectives and outcomes and for reporting this appropriately to the Committee and Board.						
6. Review transformation and service quality initiatives. Monitor the transformation programme considering main streaming, where appropriate.		X	X		X	Transformation programme performance monitoring reports. Includes deep dive presentation into specific areas.
7. Support the IJB in ensuring that the Board performance framework is working effectively, and that escalation of notice and action is consistent with the risk tolerance set by the Board.						Annual review of the Board Assurance & Escalation Framework (BAEF). Delayed to August 2020



Duty	2019/20					Comments
	300419	280519	200819	291019	250220	
8. Review the Annual Performance Report to assess progress toward implementation of the Strategic Plan.					X	Annual review of the performance monitoring framework & reporting.
9. Instruct Performance Reviews and related processes.						As and when required
10. Support the IJB in delivering and expecting cooperation in seeking assurance that hosted services run by partners are working.						On the 11th June the IJB approved a strategic planning framework for set aside services which included some of the larger hosted services. Following this meeting a detail review was undertaken on the hosted services performance etc in a workshop
<b><u>Risk &amp; Governance</u></b>						
11. The risk tolerance of the Committee is established by the Board Assurance Framework which itself is based on the Board's understanding of the nature of risk to its desired priorities and outcomes and its appetite for risk-taking. This role will be reviewed and revised within the context of the Board and Committee reviewing these			X		X	Risk Register (Aug19), Reviewed risk appetite (following IJB workshop)



Duty	2019/20					Comments
	300419	280519	200819	291019	250220	
Terms of Reference and the Assurance Framework to ensure effective oversight and governance of the partnership's activities.						
12. Ensure the existence of and compliance with an appropriate risk management strategy including: Reviewing risk management arrangements; receiving biannual Strategic Risk Management updates and undertaking in-depth review of a set of risks and annually review the IJB's risk appetite document with the full Board.			X		X	Risk Register (Aug19), Reviewed risk appetite (following IJB workshop)
13. Approve the sources of assurance used in the Annual Governance Statement.	X					Review of annual governance statement; (special meeting 30.04.19) local code of governance; financial governance.
14. Review the overall Internal Control arrangements of the Board and make recommendations to the Board regarding signing of the Governance Statement, having received assurance		X				Went to the meeting in May



Duty	2019/20					Comments
	300419	280519	200819	291019	250220	
from all relevant Committees.						
<b>Financial</b>						
15. Consider and approve annual financial accounts and related matters	X	X				Unaudited in April, Audited in May
16. Receive regular financial monitoring reports		X	X		X	Financial Monitoring Reports (RAPC/IJB quarterly)
17. Act as a focus for value for money.						Reactive. Example of the living wage processes.
18. Approve budget virements.		X	X		X	Financial Monitoring Reports (RAPC/IJB quarterly)



### Forward Planning:

The Committee will review the overall Internal Control arrangements of the Board and make recommendations to the Board regarding signing of the Governance Statement, having received assurance from all relevant Committees.

Specifically, it will be responsible for the following duties:

Duty	2020/21					Comments
	120520 IJB	090620 IJB	260820	230920	031120	
<b><u>Audit</u></b> 1. Review and approve the annual audit plans (internal and external) on behalf of the IJB, receiving reports, overseeing and reviewing actions taken on audit recommendations and escalating to the IJB as appropriate.			X			Internal Audit Plan August, External Audit Plan February 21
2. Monitor the annual work programme of Internal Audit, including ensuring IJB oversight of the function and programme to ensure this is carried out strategically.			X	X	X	Internal audit reports
3. Be aware of, and act on, Audit Scotland, national and UK audit findings and inspections/regulatory advice, and to confirm that all compliance has been						As and when report released



Duty	2020/21					Comments
	120520 IJB	090620 IJB	260820	230920	031120	
responded to in timely fashion.						
4. The Committee shall present the minute of its most recent meeting to the next meeting of the IJB for information only.			X	X	X	Ongoing
<b>Performance</b>						
5. Review and monitor the strategy for performance the performance of the Partnership towards achieving its policy objectives and priorities in relation to all functions of the IJB. This includes ensuring that the Chief Officer establishes and implements satisfactory arrangements for reviewing and appraising service performance against the national health and wellbeing outcomes, the associated core suite of indicators and other local objectives and outcomes and for reporting this			X	X		Performance monitoring quarterly to RAPC/CCGC alternatively (RAPC considers Personalisation & Communities)





Duty	2020/21					Comments
	120520 IJB	090620 IJB	260820	230920	031120	
appropriately to the Committee and Board.						
6. Review transformation and service quality initiatives. Monitor the transformation programme considering main streaming, where appropriate.				X	X	Operation homefirst
7. Support the IJB in ensuring that the Board performance framework is working effectively, and that escalation of notice and action is consistent with the risk tolerance set by the Board.			X			Annual review of the Board Assurance & Escalation Framework (BAEF). Delayed to August 2020
8. Review the Annual Performance Report to assess progress toward implementation of the Strategic Plan.				X		Review of annual report.
9. Instruct Performance Reviews and related processes.						As and when required
10. Support the IJB in delivering and expecting cooperation in seeking assurance that hosted services run by partners are working.						Information required to replicate the work undertaken previously re hosted services.



Duty	2020/21					Comments
	120520 IJB	090620 IJB	260820	230920	031120	
<b><u>Risk &amp; Governance</u></b>						
11. The risk tolerance of the Committee is established by the Board Assurance Framework which itself is based on the Board's understanding of the nature of risk to its desired priorities and outcomes and its appetite for risk-taking. This role will be reviewed and revised within the context of the Board and Committee reviewing these Terms of Reference and the Assurance Framework to ensure effective oversight and governance of the partnership's activities.			X		X	review risk level and BAEF
12. Ensure the existence of and compliance with an appropriate risk management strategy including: Reviewing risk management arrangements; receiving biannual Strategic Risk Management updates and undertaking in-depth review of a set of risks and		X				Risk Register



Duty	2020/21					Comments
	120520 IJB	090620 IJB	260820	230920	031120	
annually review the IJB's risk appetite document with the full Board.						
13. Approve the sources of assurance used in the Annual Governance Statement.	X					Review of annual governance statement; local code of governance; financial governance
14. Review the overall Internal Control arrangements of the Board and make recommendations to the Board regarding signing of the Governance Statement, having received assurance from all relevant Committees.			X			Internal Audit Annual Report
<b>Financial</b>						
15. Consider and approve annual financial accounts and related matters	X	X			X	Unaudited in May, Audited in June, Financial Regulations
16. Receive regular financial monitoring reports		X			X	Financial Monitoring Reports (RAPC/IJB quarterly)
17. Act as a focus for value for money.						Reactive. Example of the living wage processes.
18. Approve budget virements.		X			X	Financial Monitoring Reports (RAPC/IJB quarterly)