



Risk, Audit & Performance Committee - Duties & Annual Plan

Review Date: April 2023 (submitted RAPC 13th June 2023)

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 2022/23. It further provides a plan for fulfilment of the same duties for the financial year 2023/24 although it should be noted that some of the detail has still to be finalised.

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 (Crosses refer to when the item was presented or is expected to be presented to the RAPC):



Duty	2022/23					
	260422	230622	090822	171122	280223	
<p>Audit</p> <p>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.</p>	X	X	X	X	X	<p>External Audit Plan 2022/23 260422</p> <p>Internal Audit Report – IJB Performance Management Reporting 230622</p> <p>Internal Audit Report – Learning Disabilities 090822</p> <p>Internal Audit Report – Care Management 171122</p> <p>Internal Audit – Transformational Programme 280223</p> <p>Internal Audit - Data Sharing 280223</p>



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 Annual Report 230622 Internal Audit Update Report 171122 & 280223 Internal Audit Plan 280223
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			Audit Scotland – Drug and Alcohol Service Briefing 230622 Review of Audit Scotland Reports 230622 Best Value in Integration Joint Boards – Letter from Accounts Commission 090822
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	Recurring IJB agenda item.
Performance						
5. Review and monitor the strategy for performance the performance of the	X		X	X	X	Leadership Team Objectives – Performance Framework 260422



<p>Partnership towards achieving its policy objectives and priorities in relation to all functions of the JB. 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.</p>						<p>Strategic Plan Delivery Plan Dashboard 090822, 171122 & 280223</p>
<p>6. Review transformation and service quality initiatives. Monitor the transformation programme considering main</p>		<p>X</p>	<p>X</p>			<p>Primary Care Improvement Plan Update 230622</p> <p>Adult Support and Protection Inspection Report 090822</p>



streaming, where appropriate.						
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		X		Directions Process Report 230622 Directions Tracker 171122
8. Review the Annual Performance Report to assess progress toward implementation of the Strategic Plan.		X		X		Justice Social Work – Annual Performance Report 230622 Review of Annual Performance Report – 171122
9. Instruct Performance Reviews and related processes.	X	X				Signposting to External Services 260422 & 230622 CAMHS MWC Young People Monitoring Report 230622
10. Support the IJB in delivering and expecting cooperation in seeking assurance that hosted services run by partners are working.			X			Hosted Services SLAs 090822
Risk & Governance						



<p>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.</p>				X		Annual review of the Board Assurance & Escalation Framework (BAEF) – 280223
<p>12. Ensure the existence of and compliance with an appropriate risk management strategy including: Reviewing risk management arrangements;</p>				X		Strategic Risk Register 171122



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.						
13. Approve the sources of assurance used in the Annual Governance Statement.	X					Review of Financial Governance 260422 Annual Governance Statement 260422
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	X	X	X		Whistleblowing Update 260422, 230622 & 090822 Review of the Local Code of Governance 260422 Annual Review of RAPC 260422 Financial Regulations Review 171122



<u>Financial</u>						
15. Consider and approve annual financial accounts and related matters	X		X			Unaudited RAPC 260422 Scotland's Financial Response to Covid-19 090822
16. Receive regular financial monitoring reports	X				X	Q4 Financial Monitoring Report 260422 Q3 Financial Monitoring Update 280223
17. Act as a focus for value for money.						
18. Approve budget virements.						None required 2022/23



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	2023/24					Comments
	020523	130623	190923	281123	230124	
<u>Audit</u> 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					External Audit Strategy 020523
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		Internal Audit Report – Annual Report and IJB Performance Management Reporting 130623 Internal Audit Update Report 281123



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.						As and when reports are released
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	Recurring IJB agenda item.
Performance						
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	X		X		X	Quarterly Performance Reports against the Delivery Plan 020523, 190923, 230124



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		Justice Social Work Performance Report and annual Report 130623 Adult Support and Protection Inspection Report Progress Update190923 Workforce Plan 281123 Equality Outcomes and Mainstreaming Framework 281123
7. Support the IJB in ensuring that the Board performance framework is working effectively, and that	X			X		Directions Tracker 020523 & 281123



escalation of notice and action is consistent with the risk tolerance set by the Board.						
8. Review the Annual Performance Report to assess progress toward implementation of the Strategic Plan.				X		Review of IJB Annual Performance Report 281123
9. Instruct Performance Reviews and related processes.			X			As and when required, by exception. Review of performance against Locality Plans 190923
10. Support the IJB in delivering and expecting cooperation in seeking assurance that hosted services run by partners are working.						Hosted Services SLAs expected Autumn 2023
<u>Risk & Governance</u>						
11. The risk tolerance of the Committee is established by the Board Assurance Framework which itself is based on the	X					Strategic Risk Register 020523



<p>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.</p>						
<p>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</p>						



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 Financial Governance 020523
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		X		X	Whistleblowing Updates 020523, 190923 & 230124 Annual Review of RAPC 020523
Financial						
15. Consider and approve annual financial accounts and related matters				X		Financial Regulations Review 281123
16. Receive regular financial monitoring reports						
17. Act as a focus for value for money.						



18. Approve budget virements.						
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