

MINUTE of MEETING of the WEST LOTHIAN INTEGRATION JOINT BOARD AUDIT, RISK AND GOVERNANCE COMMITTEE held within VIRTUAL MEETING ROOM, on 1 DECEMBER 2021.

Present – Councillor Damian Doran-Timson (Chair); and Martin Connor and Katherina Kasper (NHS Lothian Non-Executive Directors);

In Attendance – Alison White (Chief Officer), Kenneth Ribbons (IJB Internal Auditor); James Millar (IJB Standards Officer), Patrick Welsh (IJB Chief Finance Officer); Jo MacPherson (Head of Social Policy), Yvonne Lawton (Health and Social Care Partnership), Lorna Kemp (IJB Policy Officer); and Stevie Dunn (West Lothian Council, Staff Representative)

Apologies – Linda Cunningham (NHS Lothian Staff Representative)

1. DECLARATIONS OF INTEREST

No declarations of interest were made.

2. MINUTE

The committee approved the Minute of its meeting held on 8 September 2021.

3. REVIEW OF STANDING ORDERS, SCHEME OF DELEGATIONS AND COMMITTEE REMITS

The committee considered a report (copies of which had been circulated) by the Standards Officer asking committee to review the Board's Standing Orders, Scheme of Delegations and Committee remits as instructed in January 2020 and to make appropriate recommendations to the Board.

It was recommended that the Committee :-

1. Note that a periodic review by the Board of its Standing Orders, Scheme of Delegations and committee remits was required and that the committee may make recommendations for the Board's consideration
2. Note that no changes were being recommended to these documents
3. Agree recommendations that should be made to the Board to assist in its review and decision-making

Decision

1. To approve the terms of the report; and

2. To agree to recommend to the Board that future reviews of Standing Orders, Scheme of Delegations and Committee Remits take place every three years.

4. CIPFA FINANCIAL MANAGEMENT CODE COMPLIANCE/FINANCIAL REGULATIONS UPDATE

The committee considered a report (copies of which had been circulated) by the Chief Finance Officer providing an update on progress towards compliance with the CIPFA Financial Management Code, the main aspect of which relates to the proposed updated Financial Regulations for review

It was recommended that the Committee: -

1. Notes the progress on compliance with the CIPFA Financial Management Code as set out in Appendix 1.
2. Considers the proposed updated Financial Regulations included as Appendix 2 to this report.
3. Agrees that the Financial Regulations, taking account of any changes or recommendations by the Committee, are reported to the IJB on 13 January 2022 for approval.

Decision

To approve the terms of the report

5. HIGH RISKS

The committee considered a report (copies of which had been circulated) by the Chief Officer advising of the IJB's high risks.

It was recommended that the Committee: -

1. Considers the high risks identified, the control measures in place, and the risk actions in progress to mitigate their impact;
2. Makes recommendations it thinks appropriate to the Chief Officer in relation to those risks, controls and actions;
3. Makes recommendations it thinks appropriate to the Integration Joint Board in relation to the risk register and the degree of assurance it provides

Decision

1. To note the terms of the report; and
2. To agree that with respect to risk IJB09 that details of the actions being taken were to be included in the data set.

6. INTERNAL AUDIT CHARTER

The committee considered a report (copies of which had been circulated) by the Internal Auditor seeking approval of the internal audit charter, a copy of which was attached to the report at Appendix 1.

It was recommended that the Audit, Risk and Governance Committee approves the internal audit charter.

Decision

To approve the terms of the report and the internal audit charter

7. GOVERNANCE ISSUES 2020/21 - UPDATE ON PROGRESS

The committee considered a report (copies of which had been circulated) by the Standards Officer providing an update on issues identified for attention through the annual governance statement for 2019/20 and on others matters arising since

Committee was asked to note the update on governance issues of concern being progressed in 2020/21 and that further updated information will be included in the annual governance statement for 2020/21 and its covering report.

Decision

To note the terms of the report

8. AUDIT AND RISK COMMITTEE PRINCIPLES

The committee considered a report (copies of which had been circulated) by the Internal Auditor advising of the revised audit and risk committee principles.

It was recommended that the Audit, Risk and Governance Committee approves the audit and risk committee principles.

Decision

To approve the terms of the report

9. NHS Lothian: Internal Audit of Risk Management at a Divisional/HSCP Level

The committee considered a report (copies of which had been circulated) by the Internal Auditor asking committee to consider the NHS Lothian internal audit report, a copy of which was attached to the report at Appendix 1.

It was recommended that the Audit, Risk and Governance Committee considers the NHS Lothian internal audit report on risk management.

Decision

To note the terms of the report.

10. RISK MANAGEMENT ANNUAL REPORTS 2020/21

The committee considered a report (copies of which had been circulated) by the Risk Manager providing copies of the annual risk management reports for 2020/21 for NHS Lothian and West Lothian, copies of which were attached to the report as appendices.

It is recommended that the Audit, Risk and Governance Committee considers the risk management annual reports.

It was recommended that the Audit, Risk and Governance Committee considers the risk management annual reports.

Decision

To note the terms of the report and the risk management annual reports for both NHS Lothian and West Lothian Council

11. SELF ASSESSMENT SURVEY - RESULTS

The committee considered a report (copies of which had been circulated) by the Project Officer advising of the results of the self-assessment survey of the committee's administrative arrangements and activity. Committee was being invited to discuss the results and identify any action required.

It was recommended that the committee :-

1. Notes the results of the self-assessment survey; and
2. Discuss if any actions should arise from the results

Decision

To note the terms of the report and the self-assessment survey results

12. IJB AUDIT, RISK & GOVERNANCE COMMITTEE ACTION TRACKER

The committee noted the content of the Action Tracker, copies of which had been circulated.

Decision

To note the content of the Action Tracker.

13. WORKPLAN

A workplan and reporting cycle had been circulated for information

Decision

To note the content of the workplan and reporting cycle.