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| Date        | 17 March 2025 |
| Agenda Item | 12            |

**Report to West Lothian Integration Joint Board Audit Risk and Governance Committee**

**Report Title: Self-Assessment Questionnaire**

**Report By: Project Officer**

| <b>Summary of Report and Implications</b>   |  |
|---|--|
| <b>Purpose</b>  | This report: (tick any that apply).  |
|   | - seeks a decision <input checked="" type="checkbox"/>   |
|   | - is to provide assurance <input type="checkbox"/>   |
|   | - is for information <input type="checkbox"/>  |
|   | - is for discussion <input type="checkbox"/>   |
| The purpose of this report is to consider arrangements for carrying out periodic self-assessment of the Committee’s administrative arrangements and activity and to approve the questionnaire for issue to members. |  |
| <b>Recommendations</b>  | It is recommended that the Committee: <ol style="list-style-type: none"> <li>1. Consider carrying out the annual self-assessment of the Committee’s effectiveness by the use of the questionnaire in the appendix</li> <li>2. Agrees to the questionnaire being issued to members and the results reported to the June meeting of the Committee</li> </ol> |
| <b>Directions to NHS Lothian and/or West Lothian Council</b>  | A direction(s) is not required   |
| <b>Resource/ Finance/ Staffing</b>  | No implications foreseen   |
| <b>Policy/Legal</b>   | Joint Working (Scotland) Act 2014<br>“Delivering Good Governance in Local Government - Framework (CIPFA/SOLACE, 2016)<br>“Delivering Good Governance in Local Government - Guidance Notes for Scottish Authorities (CIPFA/SOLACE, 2016)  |

|   |   |
|---|---|
| <b>Risk</b>   | No new risks are anticipated  |
| <b>Equality, Health Inequalities, Environmental and Sustainability Issues</b> | The report has been assessed as having little or no direct relevance with regard to equality or the Public Sector Equality Duty and no environmental impacts have been identified. As a result, an Integrated Impact Assessment has not been conducted. |
| <b>Strategic Planning and Commissioning</b>                                   | There is no direct relevance to the Strategic Plan, but good governance leads ultimately to good outcomes   |
| <b>Locality Planning</b>  | There is no direct relevance to Localities, but good governance leads ultimately to good outcomes   |
| <b>Engagement</b>   | The annual questionnaire has evolved each year with the input and feedback from Board Members and the Audit Risk and Governance Committee   |

| <b>Terms of Report</b> |   |
|------------------------|---|
| 1.                     | The CIPFA Framework under which the Board's Code of Corporate Governance was developed suggests that committees involved in scrutiny and internal control should periodically conduct a self-assessment of their effectiveness and operation. The aim is to involve members in close consideration of the role of the committee and its members, its administrative arrangements and the context in which it operates.  |
| 2.                     | A questionnaire was originally developed for the Board's Audit Risk and Governance Committee (ARGC). It is based on examples used in other public bodies and councils and was first approved for circulation on 28 March 2018. It has been conducted annually since with a similar self-assessment being developed for the IJB on the recommendation of the External Auditor as part of the Annual Governance Statement approved for signature and publication by the Board on 24 September 2018. |
| 3.                     | No changes for the questionnaire are proposed this year and the draft questionnaire is attached at Appendix 1 for the Committee's approval.   |
| 4.                     | It is proposed that the finalised questionnaire will be circulated to members electronically for completion. The results will be anonymous and will be summarised and reported to the June meeting of the Committee.  |

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| <b>Appendices</b> | 1. Draft self-assessment questionnaire   |
| <b>References</b> | Audit, Risk & Governance Committee meetings of 27 June, 12 September 2018<br>Integration Joint Board meeting of 20 June 2020 |

|                |  |
|----------------|--|
|                | <p>“Delivering Good Governance in Local Government - Framework (CIPFA/SOLACE, 2016)<br/>“Delivering Good Governance in Local Government - Guidance Notes for Scottish Authorities (CIPFA/SOLACE, 2016)</p> |
| <b>Contact</b> | <p>Kerry Taylor, Project Officer - IJB<br/><a href="mailto:kerry.taylor@westlothian.gov.uk">kerry.taylor@westlothian.gov.uk</a></p>  |

## APPENDIX 1

### INTEGRATION JOINT BOARD AUDIT RISK AND GOVERNANCE COMMITTEE – SELF-ASSESSMENT QUESTIONS

The first four sections are in generic terms and may be used for other committees. The fifth section is relevant to this Committee.

|          | Question  | Strongly agree | Agree | Neither agree nor disagree | Disagree | Strongly disagree | Don't Know | Comments |
|----------|---|----------------|-------|----------------------------|----------|-------------------|------------|----------|
| <b>A</b> | <b>Purpose and status</b>   |                |       |                            |          |                   |            |          |
| 1        | I am aware that the Committee's role and powers are set out in Standing Orders                                    |                |       |                            |          |                   |            |          |
| 2        | I consider that the Committee's role and powers are clear and understood  |                |       |                            |          |                   |            |          |
| 3        | I consider that the Committee is regarded by stakeholders as a positive influence                                 |                |       |                            |          |                   |            |          |
| 4        | I consider that the Committee's decisions are respected and acted upon by the partners                            |                |       |                            |          |                   |            |          |
| 5        | I consider that there is adequate communication amongst officers and Committee members                            |                |       |                            |          |                   |            |          |
| <b>B</b> | <b>Administrative arrangements &amp; support</b>  |                |       |                            |          |                   |            |          |
| 1        | I consider that the Committee is of an appropriate size and composition   |                |       |                            |          |                   |            |          |
| 2        | I consider that the Committee is provided with adequate officer support (professional and administrative)         |                |       |                            |          |                   |            |          |
| 3        | I consider that meetings are sufficiently frequent and at appropriate times of the year                           |                |       |                            |          |                   |            |          |
| 4        | I consider that the Committee maintains a work plan balancing forward planning with flexibility for reactive work |                |       |                            |          |                   |            |          |

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|          | Question   | Strongly agree | Agree | Neither agree nor disagree | Disagree | Strongly disagree | Don't Know | Comments |
|----------|--|----------------|-------|----------------------------|----------|-------------------|------------|----------|
| 5        | I consider that meeting papers are distributed appropriately (timeliness and format) to enable me to properly prepare        |                |       |                            |          |                   |            |          |
| 6        | I consider that reports and minutes provide relevant, appropriate and sufficient information                                 |                |       |                            |          |                   |            |          |
| 7        | I consider that start times and time allowed for meetings provide sufficient time for business to be done                    |                |       |                            |          |                   |            |          |
| 8        | I consider that public access to reports and meetings is maximised and excluded only where legally justified                 |                |       |                            |          |                   |            |          |
| 9        | I consider that the Committee is able to secure the attendance and assistance of appropriate senior officers                 |                |       |                            |          |                   |            |          |
| 10       | I consider that the Committee is able to secure appropriate professional advice when required                                |                |       |                            |          |                   |            |          |
| <b>C</b> | <b>Members</b>   |                |       |                            |          |                   |            |          |
| 1        | I consider that my role on the Committee is clear  |                |       |                            |          |                   |            |          |
| 2        | I consider that the Committee has an appropriate mix of knowledge, expertise, experience and skills                          |                |       |                            |          |                   |            |          |
| 3        | I receive sufficient and appropriate training and briefings to be effective in my role as a Committee member                 |                |       |                            |          |                   |            |          |
| 4        | I undertake personal development relevant to my role and responsibilities as a Committee member                              |                |       |                            |          |                   |            |          |
| 5        | I consider that the Chair promotes and encourages effective and efficient meetings including input from officers and members |                |       |                            |          |                   |            |          |

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|          | Question   | Strongly agree | Agree | Neither agree nor disagree | Disagree | Strongly disagree | Don't Know | Comments |
|----------|--|----------------|-------|----------------------------|----------|-------------------|------------|----------|
| 6        | I consider that members prepare, attend meetings and actively contribute   |                |       |                            |          |                   |            |          |
| <b>D</b> | <b>Effectiveness</b>   |                |       |                            |          |                   |            |          |
| 1        | I consider that the Committee functions in a positive and constructive manner, including interaction amongst members and with officers |                |       |                            |          |                   |            |          |
| 2        | I consider that scrutiny is encouraged and accepted as a means to improve  |                |       |                            |          |                   |            |          |
| 3        | I consider that the Committee provides constructive challenge to officers  |                |       |                            |          |                   |            |          |
| 4        | I consider that the Committee receives adequate responses from officers to questions   |                |       |                            |          |                   |            |          |
| 5        | I feel comfortable asking candid questions and pursuing full answers   |                |       |                            |          |                   |            |          |
| 6        | I consider that decisions and recommendations are captured to enable them to be recorded accurately                                    |                |       |                            |          |                   |            |          |
| 7        | I consider that decisions are executed properly and in a timely manner and are followed up by Committee                                |                |       |                            |          |                   |            |          |
| 8        | I consider that there is evidence from meeting papers and minutes of impacts or improvements from Committee activity                   |                |       |                            |          |                   |            |          |
| 9        | I consider that the Committee has good working relations with key officers, members and organisations                                  |                |       |                            |          |                   |            |          |

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|          | Question  | Strongly agree | Agree | Neither agree nor disagree | Disagree | Strongly disagree | Don't Know | Comments |
|----------|---|----------------|-------|----------------------------|----------|-------------------|------------|----------|
| 10       | I consider that stakeholders (including other members and the public) are engaged with the Committee's activity and are encouraged to participate in the Committee's activity |                |       |                            |          |                   |            |          |
| <b>E</b> | <b>Matters specific to Committee remit and activities</b>   |                |       |                            |          |                   |            |          |
| 1        | I consider that interaction with the Board is defined and understood  |                |       |                            |          |                   |            |          |
| 2        | I consider that meetings are attended by external auditor representatives where appropriate   |                |       |                            |          |                   |            |          |
| 3        | I consider that Committee's role in relation to the Board's annual accounts is defined and understood   |                |       |                            |          |                   |            |          |
| 4        | I consider that members consider fully the contents and conclusions of the Annual Governance Statement before its approval  |                |       |                            |          |                   |            |          |
| 5        | I consider that Committee provides effective review and challenge of risk and governance arrangements and controls  |                |       |                            |          |                   |            |          |
| 6        | I consider that Committee contributes to effective accountability to the public through challenge of governance, risk and control   |                |       |                            |          |                   |            |          |
| 7        | I consider that Committee contributes effectively to the Board's control environment  |                |       |                            |          |                   |            |          |