



Dumfries and Galloway
Integration Joint Board
Audit, Risk and Governance Committee

23rd February 2023

This Report relates to
Item 11 on the Agenda

Final Draft - Committee Membership / Terms of Reference

Paper presented by Kirsty Bell

For Approval

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List of Background Papers:	
Appendices:	<ul style="list-style-type: none"> • Terms of Reference: <ul style="list-style-type: none"> ○ Appendix 1 - Strategic Plan Delivery and Commissioning ○ Appendix 2 - Transformation and Innovation/Futures ○ Appendix 3 - Finance, Performance and Quality (to follow) ○ Appendix 4 - Audit, Risk and Governance

1. Introduction

1.1 In September 2022, following a review on the Scheme of Delegation it was approved by IJB to take forward the development of the following committee's terms of reference / membership.

- Strategic Plan Delivery and Commissioning
- Transformation and Innovation/Futures
- Finance, Performance and Quality
- Audit, Risk and Governance

1.2 In October 2022, the new committee structure commenced where membership and the terms of reference were agreed.

2. Recommendations

2.1 **The Audit, Risk and Governance Committee is asked to approve the final positions of membership and final draft of terms of reference of the following committees pending final approval by the IJB on 23rd March 2023:**

- **Strategic Plan Delivery and Commissioning**
- **Transformation and Innovation/Futures**
- **Finance, Performance and Quality (to follow)**
- **Audit, Risk and Governance**

3. Background and Main Report

3.1 Section 17 of the Public Bodies (Joint Working) (Integration Joint Boards) (Scotland) Order 2014 states that an Integration Joint Board (IJB) may establish committees of its members for the purpose of carrying out each of its functions as the Board may determine.

3.2 The IJB must decide who will act as chair person of a committee.

3.3 Each committee must include an equal number of voting members from each of the constituent authorities, this previously ranged from 4 – 6 members on each of the committees.

3.4 Any decision taken at a committee must be agreed by a majority of the voting members.

3.5 Committees must be conducted in accordance with the Standing Orders of the IJB, and each committee have now drafted a Terms of Reference which are attached for final approval.

3.6 The final committee membership has been agreed at the committee and for your approval, are as follows:

	Strategic Plan Delivery and Commissioning	Transformation and Innovation/Futures	Performance, Finance and Quality	Audit, Risk and Governance
Chair	NHS Voting	LA Voting Member	NHS Voting	NHS Voting

	Member		Member	Member
Vice Chair	LA Voting Member	NHS Voting Member	LA Voting Member	LA Voting Member
Members	<ul style="list-style-type: none"> • NHS Voting Member • Chair of Strategic Planning Group • Consultant / Associate Medical Director • Director of Strategic Planning • Performance and Intelligence Manager • Deputy Head of Strategic Planning and Commissioning • Chief Internal Auditor • Chief Officer • Local Authority Voting Member • Governance Officer • Third Sector • Independent Sector • EA to Chief Officer / Admin Support 	<ul style="list-style-type: none"> • Third Sector Representative • Director of Strategic Planning • Director of Public Health • GM for Acute and Diagnostics • Deputy Medical Director • Communication and Engagement Manager • Quality and Diversity Lead • SAM Programme Delivery Manager • Deputy Head of Strategic Planning and Commissioning • Chief Internal Auditor • Local Authority Voting Member • Governance Officer • Chief Officer • Third Sector • Independent Sector • EA to Chief Officer / Admin Support 	<ul style="list-style-type: none"> • Deputy Chief Officer • Performance and Intelligence Manager • Director of Finance • Director of Strategic Planning • NHS Voting Member • LA Voting Member x2 • Governance Officer • Third Sector • Independent Sector • EA to Chief Officer / Admin Support • 	<ul style="list-style-type: none"> • Deputy Medical Director • External Auditor • Medical Director • Deputy Chief Operating Officer • Deputy Workforce Director • Chief Internal Auditor • Chief Officer • NHS Voting Member x2 • LA Voting Member x2 • Governance Officer • Third Sector • Independent Sector • Personal Assistant

3.7 In the Integration Scheme between NHS Dumfries and Galloway and Dumfries and Galloway Council, the constituent authorities agreed that the appointments of Chair and Vice Chair will hold office for two years at the end of which responsibility for appointing to these positions will transfer to the other party for a further period of 2 years.

3.8 These changes are usually made in early April, with the next changes due to take place in April 2023, therefore if members are agreeable the changes in membership can be made until then or can be made 2 years from today. However, if changes in the position of committee Chair/Vice Chairs are made 2 years from today this will

be out of sync with the positions of Chair/Vice Chair of the Board which are due to be changed in April 2023.

4. Conclusions

4.1 Following the information provided it is anticipated that members will agree the changes suggested to the IJB committee membership.

5. Resource Implications

5.1 There will be no financial or staffing implications as a result of the changes in Membership.

6. Impact on Integration Joint Board Outcomes, Priorities and Policy

6.1 Membership of the committees of the IJB is legislative and are made in line with legislation.

7. Legal and Risk Implications

7.1 Membership of IJB committees are made in line with Section 17 of the Public Bodies (Joint Working) (Integration Joint Boards) (Scotland) Order 2014. If the IJB does not make changes in line with the Order it could be perceived that the IJB is in breach of this legislation.

8. Consultation

8.1 Discussions on the content of this report have taken place with the Chief Officer, Chair and Vice Chair of the IJB.

9. Equality Impact Assessment (EQIA)

9.1 The content of this Report has taken into consideration the Equality Act 2010 and **complies with the duties set out in Section 149 and does not require an EQIA to be undertaken.**

10. Glossary

10.1 All acronyms must be set out in full the first time they appear in a paper with the acronym following in brackets. The table below is an example only:

EQIA	Equalities Impact Assessment
IJB	Integration Joint Board



Integration Joint Board Strategic Planning Delivery and Commissioning Committee Terms of Reference

(All Integration Joint Board Committee meetings must be conducted in accordance with the Integration Joint Board Standing Orders)

1. Purpose

- 1.1 The Integration Joint Board Strategic Planning Delivery and Commissioning Committee is identified as a committee of the Integration Joint Board.
- 1.2 This committee will maintain oversight of those areas of business as specified by the Integration Joint Board:
 - **Strategic Needs Assessment**
 - **Strategic Planning Group**
 - **Planning Priorities**
 - **Commissioning Plan**
 - **Directions**
 - **Workforce Planning**

2. Remit

- 2.1 This committee will monitor and review its Terms of Reference for approval to the Integration Joint Board on a bi-annual basis.
- 2.2 This Committee Chair will develop and present a full committee report to the Integration Joint Board once a year to be presented by the Chair or Vice Chair of the committee.
- 2.3 The committee will also highlight, to each meeting of the Integration Joint Board, any matters as they arise by way of updates, reports and/or presentations.

2.4 The committee will maintain oversight of those areas of business as specified by the Integration Joint Board:

- **Strategic Needs Assessment**
 - Ensure that there is a Strategic Needs Assessment upon which to base the Strategic Commissioning Plan for the Integration Joint Board.
- **Strategic Planning Group**
 - Ensure that there is a Strategic Planning Group for the Integration Joint Board in line with Scottish Government policy and legislation.
 - Seek an annual report from the Chair/Vice Chair of the Strategic Planning Group.
- **Planning Priorities**
 - Agree an annual set of planning priorities within the context and framework of the existing Strategic Needs Assessment and Strategic Commissioning Plan and seek regular updates.
- **Commissioning Plan**
 - Approve the annual Commissioning Plan for externally commissioned services
 - Make recommendations to the Integration Joint Board with regard to issuing directions in relation to the Commissioning Plan.
- **Directions**
 - Maintain oversight and scrutiny of the Directions Register
 - Provide assurance to the Integration Joint Board that the appropriate directions to deliver the Strategic Commissioning Plan are in place over the course of the 3 yearly cycle of commissioning or make recommendations on the issuing of directions by the Integration Joint Board.
 - Seek regular reports and updates from the relevant constituent bodies on the implementation of directions.
- **Workforce Planning**
 - Note the Workforce Plan for Health and Social Care

3. Membership

3.1 This committee will consist of the following:

Voting Members:

- 2 Voting members appointed by NHS Dumfries and Galloway (1 of whom will be Chair or Vice Chair)
- 2 voting members appointed by Dumfries and Galloway Council (1 of whom will be Chair or Vice Chair)

Advisory Members:

- Chair/Vice Chair of the Strategic Planning Group
- Third & Independent Sector Representative
- Service User Representative
- 2 health or social care professional leads

Supporting Officers:

- Lead Officer –Director of Strategic Planning and Commissioning
- Chief Officer
- Performance Manager
- Governance/Standards Officer

3.2 All committee members will be appointed by the Integration Joint Board.

3.3 Any Integration Joint Board member may substitute for a committee member who is also an Integration Joint Board member.

4. Quorum

4.1 The following members are required to attend each meeting:

- Chair or Vice Chair (who must be voting members of the Integration Joint Board)
- 1 other Integration Joint Board voting member
- Minimum of 2 additional committee members (may be voting or advisory members)

4.2 If a quorum is not present, the meeting will stand adjourned to such a date and time as may be agreed by the Chair/Vice Chair.

5. Attendance at Meetings

5.1 A member will be regarded as being present at a committee meeting if they are able to participate from a remote location via Microsoft Teams or other communication link.

5.2 The committee may co-opt additional advisory members as required.

6. Schedule of Meetings

6.1 Meetings of this Committee will be 4 times per year.

6.2 Committee meeting dates will be agreed by the Integration Joint Board on an annual basis.

6.3 Additional committee meeting dates can be called by the Chair/Vice Chair.

7. Reporting and Arrangements

7.1 Minutes of the committee are to be reported and approved at its next meeting

7.2 Thereafter, approved committee minutes will be circulated to Chairs/Vice Chairs and members of other committees.

7.3 Approved minutes of all committees will be submitted to the next meeting of the Integration Joint Board for noting.

8. Support

8.1 Administrative support to the Committee will be provided by the Health and Social Care Business Support Team.

9. Agenda and Papers

9.1 Responsibility of the preparation of Agendas and Reports for meetings rests with the Lead Officer for the committee.

9.2 An agenda setting for the committee will be held approximately 4 weeks prior to the meeting

9.3 A pre-meet for the committee will be held approximately 2 weeks prior to the meeting

9.4 All Reports will be distributed electronically by the Health and Social Care Business Support Team one week prior to the date of the meeting.

10. Review

11.1 This document will be reviewed by the committee every 2 year and presented to the Integration Joint Board for approval.



Integration Joint Board Transformation and Innovation/Futures Committee Terms of Reference

(All Integration Joint Board Committee meetings must be conducted in accordance with the Integration Joint Board Standing Orders)

1. Purpose

- 1.1 The Integration Joint Board Transformation and Innovation/Futures Committee is identified as a committee of the Integration Joint Board.
- 1.2 This committee will maintain oversight of those areas of business as specified by the Integration Joint Board:
 - **Sustainability and Modernisation**
 - **Population Health**
 - **Partnership and Collaboration**
 - **Health Inequalities Outcome and Inclusion**
 - **Engagement and Participation**

2. Remit

- 2.1 The committee will agree the Terms of Reference for approval to the Integration Joint Board.
- 2.2 The committee will develop and present a full committee report to the Integration Joint Board once a year to be presented by the Chair or Vice Chair of the committee.
- 2.3 The committee will also highlight, to each meeting of the Integration Joint Board, any matters as they arise by way of updates, reports and/or presentations.
- 2.4 This committee will maintain oversight of those areas of business as specified by the Integration Joint Board:

- **Sustainability and Modernisation**
 - Ensure that there is a sufficient level of sustainability and modernisation planning activity in relation to the health and social care functions delegated to the Integration Joint Board.
 - Make recommendations to the Integration Joint Board with regard to directions relating to sustainability and modernisation.
 - Ensure that there is linkage between the Integration Joint Board and national programmes of sustainability and modernisation and provide the Integration Joint Board with assurance in relation to this.

- **Population Health**
 - Receive an annual report on changes to population health over time and, use this to help inform strategic commissioning intentions.

- **Partnership and Collaboration**
 - Receive assurance on the effectiveness of integration arrangements in Dumfries and Galloway and consider recommendations for improvement to the IJB as required

- **Health Inequalities Outcome and Inclusion**
 - Receive reports from NHS / HSCP on activity to tackle inequalities
 - Receive bi-annual (once every 2 years) reports on meeting the specific duty legislation, including mainstreaming equalities and equality outcomes reports
 - Review relevant indicators in relation to tackling inequalities (list of indicators to be developed)

- **Engagement and Participation**
 - Receive quarterly assurance reports on the application of the Participation and Engagement Strategy in all service change, modernisation and transformation activities
 - Receive an annual report on the effectiveness of the Strategy

3. Membership

3.1 This Committee will consist of the following:

Voting Members

- 2 Voting members appointed by NHS Dumfries and Galloway (1 of whom will be either Chair or Vice Chair)
- 2 voting members appointed by Dumfries and Galloway Council (1 of whom will be either Chair or Vice Chair)

Advisory Members

- Third Sector Representative
- Service User Representative

Supporting Officers

- Lead Officer –Director of Strategic Planning and Commissioning
- Director of Public Health
- Sustainability and Modernisation Programme Manager
- Equality and Diversity Lead
- Governance/Standards Officer
- Communication and Engagement Manager

3.2 All committee members will be appointed by the Integration Joint Board.

3.3 Any Integration Joint Board member may substitute for a committee member who is also an Integration Joint Board member.

4. Quorum

4.1 The following members are required to attend each meeting:

- 2 Integration Joint Board Voting Members
- Lead Officer or their nominated deputy

4.2 If a quorum is not present, the meeting will stand adjourned to such a date and time as may be agreed by the Chair/Vice Chair.

5. Attendance at Meetings

5.1 A member will be regarded as being present at a committee meeting if they are able to participate from a remote location via Microsoft Teams or other communication link.

5.2 Members are expected to attend each meeting of the committee or to nominate a deputy unless there are exceptional circumstances that would prevent attendance. These should be communicated to the Chair/Vice Chair.

5.3 The committee may co-opt additional advisory members as required.

6. Schedule of Meetings

6.1 Meetings of this Committee will be 4 times per year.

6.2 Committee meeting dates will be agreed by the Integration Joint Board on an annual basis.

6.3 Additional committee meeting dates can be called by the Chair/Vice Chair.

7. Reporting and Arrangements

7.1 Minutes of the committee are to be reported and approved at its next meeting

7.2 Thereafter, approved committee minutes will be circulated to Chairs/Vice Chairs and members of other committees.

7.3 Approved minutes of all committees will be submitted to the next meeting of the Integration Joint Board for noting.

8. Support

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9. Agenda and Papers

9.1 Responsibility of the preparation of Agenda and Reports for meetings rests with the Lead Officer for the committee.

9.2 An agenda setting for the committee will be held approximately 4 weeks prior to the meeting

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9.4 All Reports will be distributed electronically by the Health and Social Care Business Support Team one week prior to the date of the meeting.

10. Review

10.1 This document will be reviewed by the committee every 2 year and presented to the Integration Joint Board for approval.



Integration Joint Board Audit, Risk and Governance Committee Terms of Reference

(All Integration Joint Board Committee meetings must be conducted in accordance with the Integration Joint Board Standing Orders)

1. Purpose

- 1.1 The Integration Joint Board Governance, Audit and Risk Committee is identified as a committee of the Integration Joint Board.
- 1.2 This committee will maintain oversight of those areas of business as specified by the Integration Joint Board:
 - **Corporate Risk**
 - **Clinical and Care Governance**
 - **External Audit**
 - **Annual Report and Accounts**
 - **Freedom of Information**
 - **Internal Audit**
 - **Records Management**
 - **Regulatory bodies recommendations and requirements**

2. Remit

- 2.1 The committee will monitor and review its Terms of Reference for approval by the Integration Joint Board every two years.

The Committee Chair will develop a full committee assurance report to the Integration Joint Board once a year to be presented by the Chair or Vice Chair of the committee to the Integration Joint Board.

- 2.2 The committee will also highlight, to each meeting of the Integration Joint Board, any matters as they arise by way of updates, reports and/or presentations.

2.3 The committee will maintain oversight of those areas of business as specified by the Integration Joint Board:

- **Corporate Risk**

- Recommend approval of a risk management strategy to the Integration Joint Board.
- Provide advice to the Integration Joint Board on appropriate risk appetite levels.
- Receive assurance with regard to the effectiveness of risk management processes and that identified risks are being appropriately managed and provide this assurance to the Integration Joint Board.
- Approve the addition or closure of any risks on the corporate risk register. Any additions will be notified to the next meeting of the Integration Joint Board.

- **Clinical and Care Governance**

- Seek clinical and care governance assurance from constituent authorities and external providers in relation to the quality of care and support being experienced by the people who use health and social care.
- Seek the following annual reports for noting:
 - Chief Social Work Officers Annual Report
 - NHS Healthcare Governance Assurance report

- **External Audit**

- Review the annual External Audit Plan.
- Seek assurance that the agreed recommendations arising from external audit reports have been timeously and effectively implemented.

- **Annual Report and Accounts**

- Note and scrutinise the unaudited annual accounts and Governance Statement.
- Recommend approval of the final annual accounts and Governance Statement to the Integration Joint Board.

- **Freedom of Information**

- Approve the Integration Joint Board Freedom of Information Policy and Publication Scheme
- Receive an annual report on Integration Joint Board Freedom of Information/Environmental Requests.

- **Internal Audit**

- Appoint a Chief Internal Auditor
- Approve the annual risk based Internal Audit Plan and receive progress reports in relation to work against the plan.

- Scrutinise internal audit reports and receive assurance that agreed recommendations have been timeously and effectively implemented.
 - Receive an annual report from the Chief Internal Auditor on assurances from the Internal Audit Plan.
- **Records Management**
 - Approve the Integration Joint Board Records Management Plan
 - Approve the Integration Joint Board Records Management Policy
 - Receive assurance with regard to the implementation of the Integration Joint Board Records Management Plan and Policy
- **Regulatory bodies recommendations and requirements**
 - Receive assurance that the recommendations and requirements of regulatory bodies are fully implemented

3. Membership

3.1 This Committee will consist of the following:

Voting Members

- 2 Voting members appointed by NHS Dumfries and Galloway (1 of whom will be either Chair or Vice Chair of the committee)
- 2 voting members appointed by Dumfries and Galloway Council (1 of whom will be either Chair or Vice Chair of the committee)

Advisory Members

- Lead Officer – Chief Finance Officer
- Chief Social Work Officer
- Registered Nurse (Nurse Director)
- Registered Medical Practitioner - Primary Care (Medical Director Primary Care)
- Registered Medical Practitioner - not Primary Care (Medical Director)
- Third Sector Representative
- Service User Representative

Supporting Officers

- Chief Internal Auditor
- External Auditor
- Governance/Standards Officer

3.2 All committee members will be appointed by the Integration Joint Board.

3.3 Any Integration Joint Board voting member may act as a substitute on a committee for another Integration Joint Board voting member.

3.4 A deputy can attend a committee on behalf of an advisory member with prior agreement of the committee Chair.

4. Quorum

4.1 The following members are required to attend each meeting:

- Chair or Vice Chair (who must be voting members of the Integration Joint Board)
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5. Attendance at Meetings

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5.2 Members are expected to attend each meeting of the committee or to nominate a deputy unless there are exceptional circumstances that would prevent attendance. These should be communicated to the Chair/Vice Chair.

5.3 The committee may co-opt additional advisory members as required.

6. Schedule of Meetings

6.1 Meetings of this Committee will be 3 times per year.

6.2 Committee meeting dates will be agreed by the Integration Joint Board on an annual basis.

6.3 Additional committee meeting dates can be called by the Chair/Vice Chair.

7. Reporting Arrangements

7.1 Minutes of the previous committee meeting are to be presented and approved by the next meeting of the committee.

7.2 Thereafter, approved committee minutes will be circulated to Chair/Vice Chair and members of other committees.

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8. Support

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10. Review

10.1 This document will be reviewed by the committee every 2 years and presented to the Integration Joint Board for approval.