

Source	Ref	Theme	Details	Action agreed	Responsible officer	Planned Completion Date	Comment
Annual Internal Audit report 2015/16	A3-1	Overall Governance & Accountability	Accountability and responsibilities of the IJB in respect of all governance arrangements should be clarified and agreed by the IJB and the Parties and flow through to risk management and assurance arrangements				
Annual Internal Audit report 2015/16	A3-2		Assurance arrangements should include consideration of reporting lines and the flow of assurance including any officer and governance groups in place				
Annual Internal Audit report 2016/17	A3-1		Whilst progress has been made, not all key principles were agreed by year-end and there is as yet no formal written agreement setting out the precise responsibilities of the IJB, Tayside NHS Board and the Council in relation to operational activities and the exact nature of the delegation of functions to the IJBs				
Annual Internal Audit report 2017/18	A3-1		Following on from the governance update reports to the Audit Committee provided in April 2017 and 2018, we would recommend that the Audit Committee considers the governance principles adopted by the HSCI Governance working group and ensures that they are taken forward within the IJB, in partnership with both parent bodies				
Annual Internal Audit report 2017/18	A3-2		Any changes necessitated by a formal agreement on integration governance to be reached should be taken into consideration as part of the next update to the Standing Orders, Scheme of Delegation and Standing Financial Instructions.				
Annual Internal Audit report 2017/18	A3-3		AN06/18 Internal Audit report will conclude on management and governance structures. Whilst the minutes of the Audit Committee are reported to the IJB, we would recommend that, in future, the committee provides a year-end report to the IJB with a conclusion on whether it has fulfilled its remit and its view on the adequacy and effectiveness of the matters under its purview. It may also be helpful at this time of year for the Committee to reflect on any matters of concern for future consideration.				
Governance Statement 2017/18			Undertake a broad review of the IJB's overall governance arrangements				
Annual Internal Audit report 2017/18	B2-2	Governance Issues	Requirements for a scheme of delegation for the CFO still require to be reviewed as part of a broader review of the financial regulations				
Annual Internal Audit report 2017/18	B2-3		A Scheme of Further Delegation still needs to be documented for IJB services directed to NHST and Angus Council.				
Annual Internal Audit report 2017/18	A3-5		We would recommend that the IJB ensure a regular induction and development process for members and continue to review training requirements for Board members and new members in particular.				
Annual Internal Audit report 2015/16	A3-5		A work plan/ report schedule should be developed for the Board, showing when items of business require to be considered in year to deliver the purpose and remit of the IJB as well as any additional reporting agreed by members				
Annual Internal Audit report 2017/18	A2-6	Large Hospital Set Aside	In line with ongoing national work, Angus IJB is participating in ongoing work in relation to further clarification in relation to Large Hospital services and set aside budget. We would recommend that the IJB should receive regular updates on these arrangements.				
Annual Internal Audit report 2017/18	A2-7		Whilst some progress has been made to implement the Memorandum of Understanding including a basis for resource allocation and financial reporting Further work is required on risk & performance management arrangements for hosted services				
Annual Internal Audit report 2017/18	A2-4	Corporate Support	Whilst initially intended to be carried out during 2017/18, management has acknowledged the need to review corporate support arrangements and will review whether developing SLAs in future may be viable. This should include an assessment of whether the current level of support is sufficient				
Annual Internal Audit report 2016/17	A3-3		IJB reporting arrangements should be reviewed, specifically in relation to explicitly linking objectives, risks, controls/actions and assurances/performance reporting within the context of the IJB governance structures. Risk management arrangements including the Risk Management Strategy should also be reviewed following the conclusion of the governance work currently underway.				
Annual Internal Audit report 2017/18	A2-2		Whilst no reports were provided to the IJB during 2017/18 on the organisation's strategic risks and risk management arrangements (these are reported to the Clinical & Care Governance Group at R2 level), a review of risk management arrangements was agreed in April 2018. Internal Audit report AN05/18 will make recommendations to be taken into account as part of this work				

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Annual Internal Audit report 2015/16	B3-1	Service Management	Adverse event management arrangements for integrated services				
Annual Internal Audit report 2017/18	A3-4		Whilst Angus HSCP does not have its own discrete comprehensive business continuity plan, individual services should have in place their own continuity plans based on the processes in place within the partner bodies. An exercise may be required to ensure that business continuity plans cover all services delegated to the IJB and mirror (new) integrated structures.				
Annual Internal Audit report 2017/18	B3-1	Workforce/ Staff Governance	We commend the development of the integrated workforce plan and would suggest that when this is presented to the IJB, information should be included to show overtly how this important strategic document links to other supporting strategies such as the financial framework and the delivery of corporate objectives. A reporting and monitoring process for this fundamental strategy should be agreed				
Annual Internal Audit report 2017/18	A2-9		The IJB acknowledges further work is required on Organisational Development				
Annual Internal Audit report 2017/18	B2-4		Agreement of a formal objective setting and appraisal process for the CFO remains outstanding				
Annual Internal Audit report 2016/17	B3-3		Reporting on workforce and staff governance is currently limited at IJB level. Consideration should be given to consider workforce issues, needs and opportunities.				
Annual Internal Audit report 2017/18	B2-5	Information Governance	Angus IJB received a report in February 2018 setting out the implications of the GDPR including an action plan to prepare a records management plan. However, an updated information sharing protocol (consistent with Scottish Government's Information Sharing Toolkit and GDPR is under development and still requires ratification. Angus Health & Social Care Partnership Executive Management Team considered this issue on 30/04/18 and agreed a plan for implementation of GDPR compliant protocols and procedures and the appointment of a data Protection Officer				
Annual Internal Audit report 2017/18	B3-3		It is not clear that if under its current configuration, the IJB itself own the data it uses. There is a need for a wider discussion around information sharing, GDPR and ownership of information that clarifies responsibilities and accountabilities in this area; the HSCI governance principles referred to above also highlight the need for urgent clarification of these matters				
Annual Internal Audit report 2016/17	A2-5	Strategic planning	A review of the Strategic Plan due for completion by June 2017 will include the performance report for 2016/17, a Delivery Plan and the Market Facilitation Strategy				
Annual Internal Audit report 2017/18	A2-3		The Strategic Plan is now being reviewed with a view to producing an updated version for the period 2019 to 2022 and plans are in place to include appropriate consultation. A strategic planning group is in place				
Annual Internal Audit report 2017/18	A2-5	Performance management	Improvement work on the performance management framework is ongoing and should take into account the recommendations made under Internal Audit report AN05/17				
Annual Internal Audit report 2017/18	A2-1		Audit Scotland "Auditing Best Value- Integration Joint Boards", March 2018 has been reviewed by officers. This will in future be reflected in the Best Value section of Performance reports				
Annual Internal Audit report 2016/17	A2-7	Financial Management	Use of Directions. Directions issued should be revised during the year in response to developments.				
Annual Internal Audit report 2017/18	B3-2		During 2017/18, the IJB noted the use of one-off funding to support specific projects and costs. We would recommend that any individual papers on such one-off financial actions need to clearly set out they link to the organisation's underlying financial position and how it will ensure funding is utilised for the purpose intended by the provider of the funding				
Annual Internal Audit report 2017/18	B2-1	Clinical & Care Governance	In response to internal Audit report AN05/18 Clinical, Care & professional Governance, management has agreed to review reporting lines on this topic to the IJB.				
Governance Statement 2017/18		Localities	Develop further the role of localities including clarifying local financial planning arrangements.				

Note: The source named is the one for the most recent report recommendation, although many of the themes have also been previously reported and noted as development issues under the Governance Statement
Note: Where the same issue was identified as a development issue in the IJB's Governance Statement and in the Annual Internal Audit report, only one recommendation has been included above.