



ANGUS HEALTH AND SOCIAL CARE

INTEGRATION JOINT BOARD AUDIT COMMITTEE – 28 AUGUST 2019

INTERNAL AUDIT REPORTS - FOLLOW UP ACTIONS

REPORT BY ALEXANDER BERRY, CHIEF FINANCE OFFICER

ABSTRACT

The aim of this paper is to update the Audit Committee regarding the IJB's progress with meeting the recommendations of Internal Audit reports.

1. RECOMMENDATION

It is recommended that the Integration Joint Board Audit Committee:-

- (i) note the report and the progress made to date in terms of delivering the planned response;
- (ii) request confirmation to the December 2019 meeting that the Action Plan produced in response to Internal Audit report AN06/18 (Governance Mapping) has been fully implemented.

2. BACKGROUND

- 2.1 On a regular basis the IJB's Audit Committee receives Internal Audit Final reports setting out the findings of agreed Internal Audits. Many of these reports have recommendations for improvements contained within them and the final versions of reports will have agreed "management responses" to those recommendations of the Internal Auditors. All "management responses" will have time lines and associated lead officers.

Previously the IJB's Audit Committee has agreed to receive regular reports regarding progress with "management responses" through a report to Audit Committee meetings. The appendix attached to this report is the latest "Internal Audit Follow Up" summary. It lists "recommendations" from 2016/17, 2017/18 and 2018/19 Audits (where they have not already been superseded) and sets out agreed management responses, lead officers and due dates. It then adds information about status to date with reference to the "due date" and provides brief commentary on current status.

Status updates are provided by Lead Officers and collated in the period prior to an Audit Committee. On that basis, action status information will not always be perfectly up to date by the date of an Audit Committee.

In discussion about previous reports there have been requests for further clarity in the status update information. The table below gives a revised summary of intention of Status updates from August 2019 onwards. Note that in all instances, the commentary in the appendix may provide further information. Status updates from previous reports/months have not been revised.

Status Category	Explanation of Status
TBC	Still "To be confirmed" – occasionally used where no information is available or has been made available.
Complete	Action complete.
Complete (Ongoing)	Action complete, but with an ongoing requirement.
Not Yet Started	Applies to actions not overdue.
Limited Progress	Applies to actions not overdue.
Good Progress	Applies to actions not overdue.
Overdue (*Not Yet Started / Limited Progress / Good Progress)	Overdue actions with detail re progress.
Superseded	Action superseded or no longer relevant. Commentary will provide clarity.

Actions that are "complete" will be reported for 2 successive Audit Committees to provide context. Some actions may eventually be superseded by other circumstances, recommendations or actions – these will be marked "no longer relevant".

2.2 Actions re report AN06/17 (Performance Management)

It can be noted that that work is still underway to review primary care hosting arrangements and that there continues to be limited progress re Large Hospital Set Aside arrangements (see references in multiple other reports etc.).

Issues remain to be resolved regarding both performance information and governance arrangements regarding Hosted Services generally (e.g. see AN05/18). With respect to Performance Management for locally Hosted Services, Angus IJB will now press on to develop a series of local collated measures to monitor performance for these services (as per action plan for Ministerial Strategic Group Report). .

2.3 Actions re report AN07/18 (Financial Management)

It can be noted that a formal review of Corporate Support arrangements has not yet been initiated, but the issue remains under review as part of overall consideration of the reports from the Ministerial Strategic Group. Separately work still requires to be concluded between Finance and Procurement regarding reconciling contracts and finance information though information from Contracts databases has been used to inform 2019/20 budget setting.

2.4 Actions re report AN06/18 (Governance Mapping)

As noted previously, the actions associated with this report have all now been implemented and the work has moved towards an implementation phase. It is recommended that the Audit Committee request confirmation that the completion of the Action Plan associated with this Audit has resulted in the full adoption of the procedures and documentation described in the report.

2.5 Actions re report AN06/19 (Workforce Optimisation)

This is the most recent report submitted to the Audit Committee. Most actions associated with this report are now complete.

3. CONCLUSION

- 3.1 The Audit Committee are asked to note the report and the progress made to date in terms of delivering the planned response.

REPORT AUTHOR: ALEXANDER BERRY, CHIEF FINANCE OFFICER
EMAIL DETAILS: hsci Angus.tayside@nhs.net
DATE: August 2019

Appendix 1: Angus IJB Internal Audit reports – Follow up Actions

Angus Integration Joint Board: Internal Audit Reports - Follow-up Action

Appendix 1

IJB Audit Report	Rec. Ref.	Recommendation	Priority	Management Response / Action	Action by	Due Date	Status at Audit Committees			Status - Comment
							Apr-19	Jun-19	Aug-19	
AN06/17 Performance Management	3	As part of the work to address this recommendation, management should ensure that performance management requirements are taken into account. This should include work on the development of a common reporting platform with an agreed suite of indicators for adoption at a Tayside-wide level as originally agreed by Angus IJB in May 2016.	2 (a)	The IJB acknowledges the overall framework for Hosted services requires improvement. Within that we are aware of the Performance reporting issues and are working at a Tayside level to agree a suite of hosted services indicators and working closely with NHST Business Unit analyst network.	Head of Comm. Health & Care (North)	31.03.18	Overdue	Ongoing	Overdue - Limited Progress	IJB aware that regionally progress has been slow and now intends to develop a series of locally collated measures regarding locally hosted services for sharing with neighbouring IJBs.
			2 (b)	Regarding Large Hospital Services, the IJB is participating in discussion through Tayside and National CFO networks to develop financial and other associated reporting re Large Hospitals.	Chief Finance Officer	31.03.18	Ongoing	Outstanding	Overdue - Limited Progress	This is an ongoing issue and progress will also be reported through other governance channels.
AN05/18 Clinical, Care & Professional Governance	4	This should include both the assurance to be provided by Angus IJB to both Dundee and Perth & Kinross IJB, as well as Angus IJB being provided with assurance on services hosted on their behalf by the other IJBs	2 (b)	Review of service performance indicators for hosted services performance required.	Principal Officer	31.08.18	Overdue	Ongoing	Overdue - Limited Progress	IJB aware that regionally progress has been slow and now intends to develop a series of locally collated measures regarding locally hosted services for sharing with neighbouring IJBs.
AN07/18 Financial Management	1	It is recommended that the Angus Health & Social Care Partnership Chief Officer completes the outstanding action for Recommendation 1 from the original audit (Report AN07-17).	1	AHSCP will look to review overall provision of Corporate Support arrangements (including Finance) with Partners from July 2018. (Note the IJB acknowledge this is later than anticipated).	Chief Officer	Dec. 2018	Not Yet Started	Outstanding	Overdue - Not Started Yet	To be considered as part of overall response to Audit Scotland and MSG reports.
AN07/18	2	It is recommended that the procurement & Commissioning Manager and the Finance Services Manager (Team A) meet to discuss how best to link the contract information to the financial systems in future	3	The IJB and Procurement and Commissioning Manager agree this work needs progressed and concluded. Further work to reconcile Contracts register with Finance information (e.g. budgets) will be led by Finance Manager and Procurement and Commissioning Manager and reported through the Third Party Providers forum.	Proc. & Comm. Manager / Finance Manager (Angus Council)	Dec. 2018	Overdue	Ongoing	Overdue - Limited Progress	This is ongoing work between Procurement and Finance however the work does need a clearer project outline and this will be agreed via local working groups. For 2019/20 Budget Setting, extracts of information in Contracts /Procurement Annual Workplan have been utilised.
AN06/19 Workforce Optimisation	1	Actions in the AHSCP workforce plan should be SMART to ensure that actions are specific, measurable and have a timeframe to be completed by and are allocated to a named person.	2	Agreed – Future iterations of the IJB's workforce plan will have SMART actions. And these will be reported to the IJB's EMT and Board as required.	Head of Mental Health Services	Mar. 2019	N/A	Complete	Complete	Updated workforce action plan complete with SMART actions. Will go to EMT and Board as required.
AN06/19	2	Monitoring/highlight reports on the actions in the workforce plan should be a standing item on the agenda for the Executive Management Team.	2	Agreed	Head of Mental Health Services	Mar. 2019	N/A	Ongoing	Complete (Ongoing)	Plan described above will go to EMT as a standing item. Reporting to EMT may revert to bi-monthly in due course.
AN06/19	3	The Council's Schools and Learning service should consider the possibility of inviting the independent care sector in Angus to school career events.	4	Agreed – the IJB will progress this with colleagues in Angus Council	Head of Mental Health Services	Mar. 2019	N/A	Ongoing	Complete (Ongoing)	New Workforce Support in Improvement and Development Team will now make links with Schools and Learning (Angus Council).
AN06/19	4	The HR sections of Angus Council and the NHS should ensure that the action for the joint employer protocol is progressed as a matter of urgency, with a new completion date and monitored until completion.	2	<ul style="list-style-type: none"> While there remains a lack of clarity regarding this issue, it is a matter that transcends Angus IJB as one Partner (NHS Tayside) needs to work on pan-Tayside basis. The IJB will seek further clarity from HR departments progress with pilot being developed in Perth & Kinross. 	Head of Mental Health Services	Feb. 2019	N/A	Complete	Complete	IJB raised issue with Perth & Kinross IJB. No further local action planned.
AN06/19	5	AHSCP officers, together with the HR sections of Angus Council and NHS Tayside, should review methods of employing apprentices in future, in order to achieve Best Value for the IJB. Achieving Best Value for the IJB should be a key consideration in the recruitment process for all posts.	2	There is no flexibility to vary the rate of pay offered by NHS Tayside for apprenticeships. NHS Tayside must comply with the requirements of NHS Circular PCS (AFC) 2016/4 to achieve the National Living Wage for all employees. Consequently the IJB will ask Angus Council and NHS Tayside to document a short protocol regarding the routes through which Angus IJB should recruit apprentices in various circumstances.	Head of Mental Health Services	Sept. 2019	N/A	Ongoing	Limited Progress	Work still progressing.
AN06/19	6	The HR sections of Angus Council and NHS Tayside should review their current recruitment processes for the AHSCP and investigate the feasibility of integration, with one recruitment process for each position.	3	Agreed – Angus IJB will request the HR Services of Angus Council and NHS Tayside work to develop this.	Head of Mental Health Services	Feb. 2019	N/A	Complete	Complete	IJB raised issue with partner HR departments. No further local action planned.
AN06/19	7	AHSCP officers, and HR officers in Angus Council and NHS Tayside, need to raise the issue of transferability of staff between sectors with the relevant national policy makers at every opportunity, and attempt to influence changes in this regard.	2	Agreed – Angus IJB will flag this audit finding to NHS Tayside's Medical and Nursing Director and Angus Council's Chief Social Work Officer and ask them to, where possible, be considered in national forums.	Head of Mental Health Services	Feb. 2019	N/A	Complete	Complete	IJB raised this with both Partners and both partners agreed to raise with national forums available to them. No further local action planned.