

Appendix 2: Updated Management responses to Annual Internal Audit Report

Annual Internal Audit report Finding	Original Management Response (Report 29/21)	Updated Management Response (For approval, if changed)	Action By	Date of Completion
<p>1</p> <p>The direction of travel for review and revision of the Strategic Commissioning Plan should be documented, to ensure delivery of sustainable services in the future.</p> <p>This includes understanding the population health need, identifying changes to service delivery and the risks these may present, as well as identifying positives and potential service redesign from changed methods of working during the pandemic. Revision of the Strategy should include alignment to the Transformation and Re-mobilisation Plans to support the sustainability of the HSCP in the future.</p> <p>A project plan and timetable should be established to progress this work, including arrangements to review and monitor the implementation of the overarching Strategic Commissioning Plan and supporting strategies, and to ensure appropriate resources are available to deliver the strategy, clearly linked to revised service models.</p> <p>Arrangements could include:</p> <ul style="list-style-type: none"> • Identification of a Sponsor and Project Lead for strategic planning and change; • A plan and timetable for how the new Strategy and supporting strategies will emerge, including governance arrangements and key responsibilities for individuals and groups; • A stock take of current transformation; • Articulation of a clear link between strategy and ongoing service developments, to ensure future services are sustainable; • Overt linkages to realistic medicine, transformative programmes, efficiency savings and other initiatives; • Assessment of the risks to achievement. <p>There should be effective governance and oversight of this key area so that the IJB can formally scrutinise the arrangements, and in particular approve the principles underlying remobilisation and reconfiguration planning. The IJB should be engaged in all key decisions, and in setting the vision/direction for the next iteration of the plan including:</p>	<p>The IJB will request the IJB's Strategic Planning Group to consider this recommendation and report back to a future Audit Committee (target August 2021) and share its proposals for developing the Strategic plan with the IJB by October 2021.</p>	<p>The IJB will request the IJB's Strategic Planning Group to consider this recommendation and report back to a future Audit Committee (target December 2021) and share its proposals for developing the Strategic plan with the IJB by December 2021.</p> <p>This will form part of the development discussions being held with the IJB's Strategic Planning Group in October 2021.</p>	<p>Head of Service (GB)</p>	<p>December 2021</p>

	<ul style="list-style-type: none"> • Products – The IJB should clearly understand which decisions will come to them, when and in what format, and which decisions it is delegating to management • Processes - The IJB should understand how it will be kept informed of progress, of changes to the risk profile and of the impact of changes including appropriate post-project monitoring • Priorities - The IJB should agree how it will set its priorities and how these will be communicated and implemented, understanding as above that their implementation may not come to the IJB • Parameters - The IJB should outline which areas are sacrosanct to avoid wasting officers’ time. <p>The Board should be provided with regular overviews of whether Recovery, Remobilisation and strategy development is on track, key achievements, challenges and risks and any significant implications for strategy and priorities.</p>				
2	<p>Consideration should be given to adopting pan-Tayside solutions to A) LHSA, B) Corporate support arrangements and C) Hosted Services.</p> <p>With a new Strategic Commissioning Plan being developed, the focus should be increasingly on strategic, holistic solutions which allow the transfer of resources to facilitate improvements in services and shifting the balance of care, alongside the technical aspects of LHSA.</p>	<p>Angus IJB is already working with other IJBs and NHS Tayside on aspects of LHSA. This includes work on quantifying resources and progress captured in reports to June IJB.</p> <p>The IJB will consider regional approaches to corporate support and Hosted Services reporting and will report back to the Audit Committee at its August meeting.</p> <p>This position will be refined in time for the August 2021 Audit Committee.</p>	<p>LHSA</p> <p>Angus IJB is already working with other IJBs and NHS Tayside on aspects of LHSA. This includes work on quantifying resources and progress captured in reports to June IJB. This issue is already reflected in previous governance actions and will not be added as a new action to follow up.</p> <p>CORPORATE SUPPORT</p> <p>Regional approaches will be used through mechanisms associated with the review of the Integration Scheme. Otherwise local dialogue to resolve specific issues will continue. This issue is already reflected in previous governance actions and will not be added as a new action to follow up.</p>	<p>N/A</p> <p>N/A</p>	<p>N/A</p> <p>N/A</p>

			<p>HOSTED SERVICES</p> <p>Regional approaches will be used through mechanisms associated with the review of the Integration Scheme. This issue is already reflected in previous governance actions and will not be added as a new action to follow up.</p>	N/A	N/A
3	<p>The IJB is developing an annual workplan. Whilst a number of reports are included on a cyclical basis, we would recommend that, to further develop good governance arrangements, an IJB assurance plan could be implemented to ensure assurance on all risks is provided to the IJB, including necessary assurances from partner organisation. The FTF internal audit assurance principles are appended to this report and should be used to inform development of any assurance workplan.</p> <p>As part of the development of the workplan for the IJB, the IJB should consider how it will receive assurance on each of these risks. Some may require to be provided by the partners, to ensure the IJB receives assurance that its strategies and statutory responsibilities are supported by the enabling strategies and governance arrangements of its partners and these are appropriately prioritised, resourced and monitored.</p>	<p>The IJB will request the IJB's Executive Management Team to consider this recommendation and report back to a future Audit Committee (target December 2021).</p>	<p>The IJB will request the IJB's Executive Management Team to consider this recommendation and report back to a future Audit Committee (target December 2021 as part of the mid-year Risk Management update).</p> <p>This update will set out plans to ensure the IJB receives feedback regarding its strategic risks from appropriate sub-committees or other forums.</p>	<p>Chief Officer and Associate Medical Director as Chair of Angus IJB CCPG</p>	<p>December 2021</p>
4a	<p>We welcome proposals to establish a committee with oversight of performance and resources issues and would recommend that reporting ensures a rounded view of overall performance, financial sustainability and progress in implementing the priorities set out in the Strategic Plan, linked to assurance on strategic risks (see action point 3 above).</p>	<p>The IJB is already progressing proposals regarding a sub-committee considering performance and resources issues. The Committee principles as appended will be considered as part of developing its approach.</p>	<p>No Change</p>	<p>Chief Officer</p>	<p>Was August 2021, now December 2021</p>
4b	<p>In the context of our comments on performance monitoring arrangements above, and the development of a Performance & Resources Committee, performance reports should, where possible, be increasingly related to specific risks and should contain a conclusion on whether the performance reports indicate that controls are operating effectively to mitigate the risk as intended.</p>	<p>The IJB will ask the IJB's CCPG to consider developing performance monitoring that is increasingly linked to the IJB's risk.</p>	<p>The IJB will ask the IJB's CCPG to consider developing performance monitoring that is increasingly linked to the IJB's risk. In addition the IJB will consider the development of a performance monitoring forum.</p>	<p>Associate Medical Director as Chair of Angus IJB CCPG Head of Service (JG)</p>	<p>December 2021</p>

4c	<p>Actions related to facilitating sustainable transformation will need to be clearly aligned to the priorities of the IJB and robustly monitored to ensure intended outcomes are being achieved. It may well be that transformation activity will need to be woven into the new Strategic Plan rather than being considered separately in order to ensure that the Strategic Plan is genuinely transformative and that transformation is used as the vehicle for resolving the challenges and opportunities arising from the pandemic.</p>	<p>The IJB has already demonstrated a willingness to make new decision reflecting Covid19 circumstances to help deliver sustainable transformation. This is an ongoing process and will continue to be reflected in financial and strategic planning. To be taken into account as part of our response to Action point 1.</p>	No Change	N/A	N/A
5	<p>We recommend that the IJB ensures it receives more active assurance in this area (Whistleblowing) through presentation of the partner bodies annual Whistleblowing reports and an annual evaluation of their policies to assure the IJB that there are no gaps and that any concerns raised are appropriately addressed. This may be reported to a subgroup, with the IJB receiving overall assurance that this group has fulfilled its remit.</p>	<p>The IJB will seek to channel assurances regarding this issue through the IJB's Staff Partnership Forum.</p>	<p>The IJB will seek to channel assurances regarding this issue through the IJB's Staff Partnership Forum on an annual basis (Quarter 4 of each year) and in turn reflect this in the Annual Workforce (Plan) report to the IJB.</p>	Head of Service (GB)	March 2022 and August 2022