



AGENDA ITEM NO. 9

REPORT NO. IJB 52/21

ANGUS HEALTH AND SOCIAL CARE

INTEGRATION JOINT BOARD AUDIT COMMITTEE – 29 SEPTEMBER 2021

GOVERNANCE ACTIONS PLAN

REPORT BY ALEXANDER BERRY, CHIEF FINANCE OFFICER

ABSTRACT

This report provides a “Governance Actions Plan” for ongoing review by the IJB Audit Committee. The source of “actions” includes Annual Internal Audit Reports, Annual External Audit Reports and the IJB’s Governance Statement.

1. RECOMMENDATIONS

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

- (i) Notes the attached Governance Actions Plan.

2. BACKGROUND

2.1 Since the inception of the IJB, the IJB has sought to address a series of governance issues. These are flagged up through a variety of sources including Annual Internal Audit Reports, Annual External Audit Reports, the IJB’s own Governance Statement and the 2018/19 the Ministerial Strategic Groups’ (MSG) Review of Integration. At times issues can overlap or evolve over time. As described in the IJB’s Governance Statement a number of unresolved issues have been outstanding for some time.

The Governance Action Plan is shared at all IJB Audit Committee’s and progress to deliver actions can therefore continue to be tracked by the IJB Audit Committee. From August 2020, a summary of governance issues has been documented in regular finance reports to the IJB thereby highlighting the same issues to the IJB Board.

3. CURRENT POSITION

3.1 The status of actions are described using the same indicators used in the IJB’s separate “Internal Audit Report – Follow Up Actions” reports regularly provided to the IJB and will be as follows:-

Status Category	Explanation of Status
TBC	Still “To be confirmed” – e.g. where no information is 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Superseded	Action superseded or no longer relevant.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 IJB Audit Committees to provide context. Some actions may eventually be superseded by other circumstances, recommendations or actions. Note that in all instances, the commentary in Appendix 1 may provide further information

- 3.2 It remains clear from Appendix 1 that a number of actions still needed to be progressed further to improve the IJB’s overall governance arrangements. Progress on a number of governance issues has slowed since the onset of COVID-19 related capacity issues. However, as has been noted before, a number of issues included in this report pre-date COVID-19, are particularly complex and cannot be solved by the IJB in isolation. At the end of 2019/20, the IJB’s Internal Auditors have reiterated again the importance of the IJB understanding the outstanding governance issues and the importance of ensuring progress is made towards resolving these issues.

COVID-19 has had a significant impact on the capacity of the IJB to progress some outstanding governance issues. As noted at the April IJB Audit Committee Meeting, it is important for the IJB Audit Committee to remain aware that the re-prioritisation associated with COVID-19 has led to work on some governance improvement actions being de-prioritised. While the impact of COVID-19 may be slightly lower from April 2021 compared to earlier in the pandemic, the ripple effect on management capacity is ongoing due to significant backlogs of work on a range of issues.

While this means governance improvement has not progressed as anticipated, the IJB has done all it can to ensure that existing governance frameworks have been sustained.

4. PROPOSALS

- 4.1 The IJB Audit Committee should specifically note the following:-

Item 2 – A similar action point regarding corporate support services previously reported separately in the “Internal Audit –Follow Up Actions” report, will now only be reported through this report.

Item 4 – While this item is substantially complete, we are awaiting confirmation regarding Pharmacy Business Continuity Planning (BCP).

Items 6-11 – These are new inclusions in this report and reflect the future reporting of outstanding 2018/19 MSG actions via the IJB Audit Committee. The original MSG report had over 50 action points.

- 4.2 The IJB’s Audit Committee should be aware that shortcomings in corporate support can undermine the IJB’s ability to progress some governance issues at the required pace.

4.3 The IJB should note the attached IJB Governance Action Plan and request that updated versions of this are submitted to future IJB Audit Committees.

5. EQUALITY IMPACT ASSESSMENT

An Equality Impact Assessment is not required.

6. DIRECTIONS

The Integration Joint Board requires a mechanism to action its strategic commissioning plans and this is provided for in Section 26 to 28 of the Public Bodies (Joint Working) (Scotland) Act 2014. This mechanism takes the form of binding directions from the Integration Joint Board to one or both of Angus Council and NHS Tayside.

Direction Required to Angus Council, NHS Tayside or Both	Direction to:	
	No Direction Required	X
	Angus Council	
	NHS Tayside	
	Angus Council and NHS Tayside	

REPORT AUTHOR: ALEXANDER BERRY, CHIEF FINANCE OFFICER
E-mail details: tay.angushscp@nhs.scot

List of Appendices: Appendix 1: Angus IJB Governance Actions Plan

Angus Integration Joint Board: Governance Actions Plan

Appendix 1

Angus Integration Joint Board: Governance Actions Plan								Status at Audit Committees			Status - Comment
Item	Source	Source Reference	Comment / Recommendation	Source Priority	Management Response / Action	Action by	Due Date	Apr-21	Jun-21	Sep-21	Status - Comment
1	2018/19 Annual Internal Audit Report and IJB's Governance Statement)	1(c)	Clarification of overall Governance and Accountability arrangements.	N/A	CO/CFO to develop a statement regarding this to clarify arrangements beyond original Integration Scheme.	Chief Officer / Chief Finance Officer	Dec-19	Overdue (Limited Progress)	Overdue (Limited Progress)	Overdue (Good Progress)	Review of Integration Scheme (IS) has been initiated collaboratively across Tayside. A Project Initiation Document (PID) has been developed and updates to sections of the IS are now being drafted for consideration.
2	2018/19 Annual Internal Audit Report and IJB's Governance Statement)	1(d)	Corporate and other Support arrangements to address overall IJB capacity.	N/A	Plan to be developed.	Chief Officer	Dec-19	Overdue (Limited Progress)	Overdue (Limited Progress)	Overdue (Good Progress)	IJB notified that this was unlikely to be progressed in 20/21 but IJB has highlighted the importance attached to this in letters to Angus Council and NHS Tayside. Note - recent Angus Council commitment of additional resource to Procurement and Finance support. Now forms part of Integration Scheme review.
3	2018/19 Annual Internal Audit Report, IJB's Governance Statement) and IA report AN06/17, AN05/18	1(g)	Hosted Services arrangement to include risk management , performance management and financial monitoring.	N/A	IJB intends to develop a consolidated information set regarding locally hosted services covering Finance, Performance and Risks.	Chief Finance Officer	Dec-19	Overdue (Good Progress)	Overdue (Good Progress)	Overdue (Good Progress)	While further delayed due to COVID-19, finance information now well developed with plans developing to link in in with broader reporting re Hosted Services. See also in Internal Audit Follow Up Actions report.
4	2018/19 Annual Internal Audit Report	5	An exercise may be required to ensure that business continuity plans cover all services delegated to the IJB and reflect the new integrated structures.	3	The IJB will review its business continuity plans through the Clinical Care and Professional Governance Forum.	Associate Medical Director	Dec-19	Complete	Complete	Complete	Business Continuity Plan (BCP) review complete. In place for all services (Pharmacy excepted). The annual report of CCPG to the Audit Committee will, in future, provide an update re BCP position. It i.es expected that BCP plans will need to be reviewed due to COVID-19 and, therefore, the previously outstanding Pharmacy BCP will be reflective of a post COVID-19 position.
5	2018/19 Annual Internal Audit Report	A2(ix) ²	An implementation plan to support the delivery of the Strategic Plan is to be developed.	N/A	The IJB will develop this through the Strategic Planning Group.	Head of Service (South)	Dec-19	Overdue (Limited Progress)	Overdue (Limited Progress)	Superseded (by response to 2020/21 Annual Internal Audit)	IJB still working towards ensuring that SPG considers status of Strategic Plan more regularly and as a collective, strategic approach and this will include clarifying and updating with regard to implementation plans. This will include consideration of bringing together current operational oversight arrangements.

Angus Integration Joint Board: Governance Actions Plan

Appendix 1 (Cont.)

Item	Source	Source Reference	Comment / Recommendation	Source Priority	Management Response / Action	Action by	Due Date	Status at Audit Committees			Status - Comment
								Apr-21	Jun-21	Sep-21	
6	2018/19 Ministerial Strategic Groups' (MSG) review of Integration	N/A	Develop written integrated guidance that enables joint job descriptions and recruitment where appropriate and encourages a culture of integration.	N/A	This action will rest with the IJB's partners. However the IJB may look to develop work-around options - still with support from partners.	Chief Officer	Mar-21 ¹	N/A	N/A	Overdue (Limited Progress)	No further action can be taken by officers working within HSCP; action required by Human Resources departments of NHS Tayside and Angus Council. IJB to look to develop work-arounds.
7	2018/19 Ministerial Strategic Groups' (MSG) review of Integration	N/A	Partners to develop financial planning / reporting that reflects their role as a partner with the Health and Social Care Partnership.	N/A	Development of LHSA and Mental Health reporting.	Chief Finance Officer	Mar-21 ¹	N/A	N/A	Overdue (Limited Progress)	Some outstanding work regarding in-year reporting of Large Hospital Set Aside / Mental Health
8	2018/19 Ministerial Strategic Groups' (MSG) review of Integration	N/A	NHS Tayside to work with Integration Joint Boards to resolve the Large Hospital Set Aside agenda.	N/A	As per previous IJB reports.	Chief Officer/Chief Finance Officer	Mar-21 ¹	N/A	N/A	Overdue (Limited Progress)	Limited progress has been achieved to date. Updates are regularly reported to the IJB.
9	2018/19 Ministerial Strategic Groups' (MSG) review of Integration	N/A	Undertake a review of support arrangements with Angus Council and NHS Tayside including reviewing the provision of dedicated NHS Tayside finance support already being developed.	N/A	As per existing actions (#2 above).	Chief Officer	Mar-21 ¹	N/A	N/A	Overdue (Limited Progress)	From early 2020 dedicated NHS Tayside finance support has been provided to the HSCP Chief Finance Officer. Issues with respect to Angus Council still not finalised.
10	2018/19 Ministerial Strategic Groups' (MSG) review of Integration	N/A	Service level agreements setting out explicitly the support arrangements and associated resources must be developed.	N/A	The update of support arrangements is included in work to deliver revisions of the Integration Scheme, to be completed this year. An approach to developing a memorandum of understanding has been agreed rather than a service level agreement.	Chief Officer	Mar-21 ¹	N/A	N/A	Overdue (Limited Progress)	The update of support arrangements is included in work to deliver revisions of the Integration Scheme, to be completed this year. An approach to developing a memorandum of understanding has been agreed rather than a service level agreement.
11	2018/19 Ministerial Strategic Groups' (MSG) review of Integration	N/A	The IJB Audit Committee will consider a report on an assessment of the Partnership's effectiveness in relation to strategic commissioning.	N/A	See response to 2020/21 Annual Internal Audit report.	Head of Service	Mar-21 ¹	N/A	N/A	Overdue (Limited Progress)	Work is progressing on this action but has been delayed by support from key staff being focused on support for the management of the COVID-19 pandemic.
Notes											
1. Notional date.											
2. indicates these issues were not formal recommendations.											