



**ANGUS HEALTH AND SOCIAL CARE
INTEGRATION JOINT BOARD AUDIT COMMITTEE – 8 DECEMBER 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 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.

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Superseded	Action superseded or no longer relevant.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 Some actions may eventually be superseded by other circumstances, recommendations or actions.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 or concluded 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. The impact of COVID-19 and ongoing changes emanating from COVID-19 is still having a significant impact on the IJB’s ability to progress some improvement work. 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 2020/21, the IJB’s Internal Auditors noted, “There remain a number of intractable long standing issues outstanding, recognised through the Governance Action Plan based on previous internal audit recommendations, actions agreed through the MSG Self Assessment, and mirrored in the IJB’s draft Governance Statement as areas requiring further improvement. An integrated Governance Action Plan has been monitored by the Audit Committee and regularly escalated to the IJB.”

As noted above re COVID-19 impacts, 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 continues to do 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 9 – refers to both corporate services and finance in particular. The finance aspect of this is, we believe, now complete with an agreement reached effective 1st November 2021 to devolve the management of an agreed level of finance resource to the IJB’s CFO. On that basis, this item is shown as “green” in this report. However the underlying issue re corporate support services is not yet resolved. After the noting of the finance progression, in future reports of this report item 9 and item 2 will be merged.

- 4.2 The IJB Audit Committee has previously indicated a willingness to intervene and lend support to assist / progress outstanding actions. At the moment, there are no recommended interventions asked of the IJB Audit Committee.

- 4.3 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.
- 4.4 Most issues that have escalated to "governance issues" are characterised by their complexity and multi-faceted nature. Resolution requires capacity across the system to solve issues of this type and currently there isn't capacity across all parts of the system, concurrently, to resolve a number of issues. The IJB is seeking to address capacity issues at a number of levels.
- 4.5 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	

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

Angus Integration Joint Board: Governance Actions Plan								Appendix 1			
Item	Source	Source Reference	Comment / Recommendation	Source Priority	Management Response / Action	Action by	Due Date	Status at Audit Committees			December 2021 Status - Comment
								Jun-21	Sep-21	Dec-21	
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 (Good Progress)	Overdue (Good Progress)	All revised sections of the Integration Scheme have been consulted on in various internal forums. The project group is finalising the wording of the final draft scheme to go forward to the Chief Executives group and then onto NHS Tayside Board and Local Authorities for approval prior to public consultation. This is expected to take place in February.
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 (Good Progress)	Overdue (Limited Progress)	Discussions on support arrangements will start once the Revised Integration Scheme is available. This is likely to take place in February 2022.
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 with broader reporting re Hosted Services. An approach to performance reporting for 'hosted' services has been agreed with Dundee and Perth & Kinross HSCPs. This is also covered in the revised Integration Scheme. 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 (retained on list due to further reviews)	All BCPs now up to date but will need to be reviewed in the light of Covid-19 and new arrangements for BCPs being brought in following the designation of the IJB in March 2021 as a category 1 responder under the Civil Contingencies Act. This work has commenced.
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)	Superseded (by response to 2020/21 Annual Internal Audit)	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.
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	Overdue (Limited Progress)	Overdue (Good Progress)	Angus Council and NHS Tayside HS Departments now working on proposals to work around historic obstacles to resolve underlying issues.

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			December 2021 Status - Comment
								Jun-21	Sep-21	Dec-21	
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	Overdue (Limited Progress)	Overdue (Limited Progress)	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	Overdue (Limited Progress)	Overdue (Limited Progress)	Limited progress has been achieved to date. Updates have been previously 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	Generally as per existing actions (#2 above). With respect to finance there have been ongoing discussions with Angus Council.	Chief Officer	Mar-21 ¹	N/A	Overdue (Limited Progress)	Complete	Noting most of this action is replicated above, with respect to finance support from Angus Council, agreement has now been reached to devolve finance support oversight directly to the IJB's CFO.
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	Overdue (Limited Progress)	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 and this work is likely to start in February 2022.
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	Overdue (Limited Progress)	Overdue (Limited Progress)	Due to volume of current business (linked to COVID-129) this item has not yet been fully considered.
Notes											
1. Notional date.											
2. indicates these issues were not formal recommendations.											