



ANGUS HEALTH AND SOCIAL CARE

INTEGRATION JOINT BOARD AUDIT COMMITTEE – 20 APRIL 2022

GOVERNANCE ACTIONS PLAN

REPORT BY ALEXANDER BERRY, CHIEF FINANCE OFFICER

ABSTRACT

This report provides an update regarding the IJB’s “Governance Actions Plan”.

1. RECOMMENDATIONS

It is recommended that the Integration Joint Board Audit Committee 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 Annual Governance Statement, a number of unresolved issues have been outstanding for some time.

The Governance Actions Plan is shared at the Audit Committee so progress can therefore be monitored. A summary of governance issues is also documented in regular finance reports 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Superseded	Action superseded or no longer relevant.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 Audit Committees to provide context. Some actions may eventually be superseded by other circumstances, recommendations or actions. Once noted as “Superseded”, actions will not be reported at further Audit Committees. Note that in all instances, the commentary in Appendix 1 may provide further information

From this report, the “Due Date” column also includes a revised planned completion date. In addition, after feedback from the last Audit Committee a new column “Impact of Delay” has been added.

- 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.

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.

- 3.3 The Audit Committee has previously indicated a willingness to intervene or lend support to assist progress outstanding actions. At the moment, there are no recommended interventions asked of the Audit Committee.
- 3.4 At the last Audit Committee, it was suggested that longer standing actions be reviewed in terms of their retention. The IJB’s Internal Auditors have undertaken this review with the outcome set out in the separate “Internal Audit Reports - Follow Up Actions” report.
- 3.5 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.
- 3.6 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.
- 3.7 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. PROPOSALS

- 4.1 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.

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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			April 2022 Status - Comment
								Dec-21	Apr-22	Impact of Delay	
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	Originally Dec. 2019; Revised to Aug. 2022	Overdue (Good Progress)	Overdue (Good Progress)	Weakened governance	The draft Angus Integration scheme is expected to be approved for public consultation the end of March 2022. The consultation period will last into April 2022. The final scheme is likely to be approved by Angus Council and NHS Tayside in June. It will then be submitted to the Scottish Government for approval. *
2	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	Originally Dec. 2019; Revised to Aug. 2022	Overdue (Good Progress)	Overdue (Limited Progress)	Weakened governance	This continues to be work in progress with that progress delayed due to COVID. Finance information now well developed with plans developing to link in in with broader reporting re Hosted Services. An approach to performance reporting for 'hosted' services has been agreed with Dundee and Perth & Kinross HSCPs. *
3	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	Originally Dec. 2019.	Complete (retained on list due to further reviews)	Complete	N/A	Managerial leads within the HSCP have confirmed that BCPs have been reviewed and are in place for all HSCP services. Further work is planned to review these in the context of the COVID-19 pandemic and the change to category 1 responder status. That review will be subject to discussion within CCPG regarding how the HSCP ensures regular review of BCPs across the whole partnership, in conjunction with external partners and parent bodies. An update regarding this will be included in a BCP section of the annual CCPG report to the IJB.
4	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	Originally March 21; Revised to Aug 2022.	Overdue (Good Progress)	Overdue (Good Progress)	Weakened workforce planning	Angus Council and NHS Tayside HR Departments continue to work on proposals to work around historic obstacles to resolve underlying issues. *
5	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	Originally March 21; Revised to Aug 2022.	Overdue (Limited Progress)	Overdue (Limited Progress)	Weakened financial planning	Issue unlikely to be addressed until 2022/23.
6	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	Originally March 21; Revised to Aug 2022.	Overdue (Limited Progress)	Overdue (Limited Progress)	Weakened financial planning	Issues re LHSA remain unresolved. Issues regarding Mental Health are more pressing, also unresolved for 2022/23 and are subject of discussion with NHST and AC.
7	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	Originally March 21; Revised to Aug 2022.	Overdue (Limited Progress)	Overdue (Limited Progress)	Weakened management support	Will not be progressed until work on IS concluded and resource in place to then take this forward. (Note this action also now captures a similar issue from the 2018/19 Annual Internal Audit Report). *
8	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	Originally March 21; Revised to Aug 2022.	Overdue (Limited Progress)	Complete	Weakened planning	Internal Audit recommendations accepted at SPG on 02/02/22. These are being progressed through a series of actions, including SPG development session on 25/03/22.