



ANGUS HEALTH AND SOCIAL CARE

INTEGRATION JOINT BOARD AUDIT COMMITTEE – 24 AUGUST 2022

GOVERNANCE ACTIONS PLAN

REPORT BY ALEXANDER BERRY, CHIEF FINANCE OFFICER

ABSTRACT

This report provides an update regarding the Integration Joint Board's (IJB) "Governance Actions Plan".

1. RECOMMENDATIONS

It is recommended that the IJB Audit Committee: -

- (i) Notes the report and the progress made to date in terms of delivering the planned response.
- (ii) Request a progress report for outstanding governance actions regarding Hosted Services management and integrated workforce (workaround options) for December 2022 meeting.

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 for 2021/22, it is acknowledged that a number of unresolved issues have been outstanding for some time.

The Governance Actions Plan is shared at the IJB Audit Committee to monitor progress. 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Superseded	Action superseded or no longer relevant.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 IJB 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 Some actions may eventually be superseded by other circumstances, recommendations or actions. Once noted as “Superseded”, actions will not be reported at further IJB Audit Committees. Note that in all instances, the commentary in Appendix 1 may provide further information.

3.2 Update from Respondents

The last Audit Committee agreed to introduce the “calling in” of respondents where actions have remained outstanding for some time (see report regarding Internal Audit Follow Up Actions). The Chief Finance Officer notified the officer leading on work regarding Equalities Mainstreaming that this would be called in for August 2022. However, this item has now progressed through the IJB’s Strategic Planning Group with a planned report to the IJB for August 2022. On that basis the respondent has not been called in.

The intention is to call in respondents regarding actions associated with Hosted Services arrangements and the development of workforce proposals to support integrated workforces (workaround options regarding job descriptions).

- 3.3 It remains clear from Appendix 1 that a number of actions still need 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.

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

- 3.5 The IJB continues to have a back-log of governance actions. Most issues that have escalated to this report are characterised by their complexity and multi-faceted nature. As noted previously, 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 continues to seek to address capacity issues at a number of levels.

4. PROPOSALS

- 4.1 The IJB should note the attached IJB Governance Actions Plan and request that updated versions of this are submitted to future IJB Audit Committee Meetings.
- 4.2 To request a progress report regarding outstanding governance actions regarding Hosted Services management and integrated workforce (workaround options) for December 2022 meeting.

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		Impact of Delay	August 2022 Status - Comment
								Jun-22	Aug-22		
1	2018/19 Annual Internal Audit Report, IJB's Governance Statement and 2020/21 External Audit	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 updated Angus Integration Scheme has now been approved locally and only requires Scottish Government ratification. To ensure it is properly implemented an Angus development session is being held in August 2022 to consider next steps.
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 (Limited Progress)	Overdue (Limited Progress)	Weakened governance	Work progressing with other HSCPs following the updated Integration Scheme regarding finance, strategic and governance reporting for hosted services. Proposal currently being developed due for completion August 2022.
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 (CCPG) Forum. While this action is complete, it will be retained on this until the annual CCPG report is shared with the IJB. - now confirmed.	Associate Medical Director	Originally Dec. 2019.	Complete	Complete	N/A	Report 38/22 "CCPG Annual Assurance report" noted "All services have reviewed and updated Business Continuity Plans regularly over the past year."
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.	Head of Service	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. May be partly dependent on resolution of MH issues noted below.
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	Current focus is wrt Mental Health (noting impact of COVID on LHSA activity). Unresolved financial accountability issues remain re In Patient MH while operational accountability remains with NHST. Financial planning work also still to be fully progressed.
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	IJB Action Points April 2022	N/A	The IJB is to consider the CIPFA "Ethical Framework"	N/A	To be progressed via the IJB's Audit Committee.	Chief Finance Officer (initially)	TBC	Not started Yet	Not started Yet	Weakened governance	This work has not yet commenced. Propose to consider during 2022/23 via IJB's Third Party Provider Group.
9	External Annual Audit Report 2020/21	3	A number of governance documents (Financial Regulations, Scheme of Delegation, Equalities Mainstreaming Report) are not up to date or available on the website.	N/A	the IJB acknowledges the Equalities Mainstreaming Report needs to be updated and will progress this in near future.	Head of Service (GB)	originally Dec. 2021; Revised to Dec 2022	Overdue (Good Progress)	Overdue (Good Progress)	Weakened governance	The Equality and Human Rights Commission have recently been in contact and have highlighted several areas where AHSCP are currently non-compliant with equalities legislation. An action plan has been provided to them detailing the next steps and the timeframes involved in order to become compliant. A new Equalities Mainstreaming Report and set of Equality Outcomes will be presented at SPG in August.
10					The IJB will develop a timeline to refresh key governance documents and, once progressed, ensure documents are accessible on the IJB's web sites.	Chief Officer/ Chief Finance Officer	Mar-22	Overdue (Limited Progress)	Overdue (Limited Progress)	Weakened governance	Initial report re status of Governance documents shared at April 2022 Audit Committee. Further work required to develop documentation.