



ANGUS HEALTH AND SOCIAL CARE
INTEGRATION JOINT BOARD AUDIT COMMITTEE – 7 DECEMBER 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 regarding outstanding governance actions related to the IJB's Governance Documentation be brought forward to the April 2023 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 2022/23, 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 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Superseded	Action superseded or no longer relevant.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 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 Some actions may eventually be superseded by other circumstances, recommendations or actions. Once noted as “Superseded”, actions will not be reported at further IJB Audit Committees.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 – Calling In

The June 2022 Audit Committee agreed to introduce the calling in of respondents where action have remained outstanding for some time (see report regarding Internal Audit Follow Up Actions).

For December 2022, it was agreed to call in actions regarding Hosted Services arrangements and the development of workforce proposals to support integrated workforces (workaround options regarding job descriptions).

As at the time of writing the report, an update regarding Hosted Services was not yet available. This will be followed up separately.

The update regarding integrated workforces is attached at Appendix 2. This shows that protocols are now in place to facilitate joint recruitment processes. While there has been limited application of these protocols to date, it is suggested that the agreed protocols now deliver the audit requirement and provide the HSCP with the required flexibilities. On that basis it is proposed that from the next audit committee this item is treated as being complete.

With a presumed intention to further call in respondents regarding outstanding actions, it is suggested that for April 2023 an update be provided regarding the IJB’s Governance Documentation (Chief Finance Officer).

3.3 Other Updates

Clarification of Overall Governance and Accountability Arrangements – It was generally accepted within the IJB that there was room for improvement or improved clarity in the wording and workings of the Integration Scheme. This was linked to this outstanding Governance action. With a revised Integration Scheme now approved, the opportunity to address this action point has now passed. Some clarifications have been built into the update Integration Scheme (e.g. regarding Mental Health). We also know some associated issues (Support Services and Hosted Services) still remain on the governance action list. We also know other issues will ultimately emerge.

However, after discussion at previous IJB Audit Committee meetings and email exchanges with the IJB’s Internal Auditors, it is now proposed that the original issue of “clarifying overall governance and accountability arrangements” can be treated as being complete.

3.4 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. 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. 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.

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.

3.5 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.

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 the IJB's Governance Documentation for April 2023 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
Appendix 2: Progress Report for Actions Called In

Angus Integration Joint Board: Governance Actions Plan
Appendix 1

Item	Source	Source Ref.	Comment / Recommendation	Source Priority	IJB Assessed Priority	Management Response / Action	Action by	Due Date	Status at Audit Committees			December 2022 Status - Comment
									Aug-22	Dec-22	Impact of Delay	
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	Significant	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)	Complete	Weakened governance	As the new Angus Integration Scheme has now been approved, and after discussion with the IJB's Internal Auditors, this action is now deemed to be complete. Noting that associated actions re Support Services and Hosted Services will be progressed separately.
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	Significant	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 February 2023.
3	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	Moderate	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	Meetings have taken place between NHS Tayside and Angus Council agreeing a protocol for joint recruitment on matched posts. Further work to be undertaken identifying what other posts can be agreed as matched.
4	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	Moderate	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 was unlikely to be addressed until 2022/23. Partly dependent on resolution of MH issues noted below with further discussion now required regarding unscheduled care.
5	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	Significant	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 with 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.
6	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	Moderate	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	Could not be progressed until work on IS concluded. Requires resources in place in all partners to then take this forward.
7	IJB Action Points April 2022	N/A	The IJB is to consider the CIPFA "Ethical Framework"	N/A	Moderate	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. Still propose to consider during 2022/23 via IJB's Third Party Provider Group.
8	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	Moderate	the IJB acknowledges the Equalities Mainstreaming Report needs to be updated and will progress this in near future.	Head of Service	originally Dec. 2021; Revised to Dec 2022	Overdue (Good Progress)	Overdue (Good Progress)	Weakened governance	The new Equalities Mainstreaming Report and set of Equality Outcomes was presented to the IJB in August. The report and outcomes were approved. The foreword section has been drafted and is currently awaiting sign off from the Chief Officer before both documents will be published on the AHSCP website. Ongoing discussions are happening with the Equality and Human Rights Commission regarding our progress with the action plan.
9					Significant	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. Update provided to December 2022 Committee. Further work required to develop documentation.

Progress Report

Integrated Workforce - workaround options

(Item 3 on Governance Action Plan)

Recommendation:

Develop written integrated guidance that enables joint job descriptions and recruitment where appropriate and encourages a culture of integration.

Action:

This action will rest with the IJB's partners. However the IJB may look to develop workaround options – still with support from partners.

Progress:

A joint recruitment process has been developed between the AHSCP, Angus Council and NHS Tayside in relation to matched posts. Matched posts are those posts which NHS Tayside and Angus Council have agreed as the same job, with the same post holder responsibilities through a formal matching process. The joint recruitment process allows matched posts to be recruited to through one integrated, joint recruitment process.

Job descriptions and job outlines are aligned as part of the formal matching process but are not integrated so job descriptions and job outlines remain in place for each organisation. E.g., Angus Council job outlines still apply for Angus Council employees and NHS Tayside job descriptions still apply for NHS Tayside employees. The recruitment requirements of each agency do not allow for integrated job descriptions/job outlines. Posts are advertised on both organisations' sites and the recruitment and appointment process in progressed by a single organisation.

Through the joint recruitment process successful candidates currently employed by either Angus Council or NHS Tayside retain their existing terms and conditions of employment. This means that salary scales for the same post may differ slightly, although the matching process ensures they are as closely aligned as possible. This process has been approved by Angus Council and NHS Tayside, as the employing organisations and is now being implemented. External candidates not currently employed by either organisation can choose which organisation they wish to be employed by. There is no further work that can be progressed in relation to the joint recruitment process for matched posts.

To date, there are very few posts that have been matched between the employing organisations. Next steps will include agreeing a joint matching process and developing guidance for recruiting managers working in the AHSCP. This is a complex process heavily dependent on the NHS Agenda for Change procedures which are currently under review. It is envisaged that this phase of the work will commence in January 2023 and be completed by 30 April 2023.