



ANGUS HEALTH AND SOCIAL CARE
INTEGRATION JOINT BOARD AUDIT COMMITTEE – 26 APRIL 2023
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. RECOMMENDATION

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.

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 were previously described using the same indicators used in the IJB's separate 'Internal Audit Report – Follow Up Actions' reports regularly provided to the IJB.

The December Audit Committee agreed that an alternative status of actions should be used, with this being similar to that used by COSLA. This has only been applied to the Governance Actions for the April Committee. This can be implemented in the Internal Audit Report Follow Up Actions for future committees if this is the preferred approach. The new status of actions will be as follows;

Status Category	Explanation of Status
TBC	Still "To be confirmed" – e.g. where no information is available.
Not Yet Started	Actions not yet started

Complete (Highlighted Blue)	Action complete.
On track (Highlighted Green)	Action is progressing and on track to be completed.
In Progress with minor issues (Highlighted Amber)	Overdue actions
Not on track with major issues (Highlighted Red)	Overdue actions
Superseded	Action superseded or no longer relevant. Commentary will provide clarity.

Actions that are “Complete” will be reported to one IJB Audit Committee. Some actions may eventually be superseded by other circumstances, recommendations or actions. Once noted as “Superseded”, actions will not be reported at further IJB Audit Committees.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).

At the December 2022 meeting, for April 2023, a progress report was requested regarding the IJB’s Governance Documentation which consisted of two actions. An update has now been shared with the Audit Committee for one of these actions (developing a timeline to refresh key governance documents) and is now marked as complete. The other action (updating the equalities mainstreaming report) is now also complete. Given that a specific report has been produced regarding the updating of the IJB’s Financial Regulations, an update on this overall issue has not yet been produced.

3.3 It is useful to note the update regarding Large Hospital Set Aside and Mental Health which are also separately referred to in Finance report to the April 2023 IJB.

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.

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

Angus Integration Joint Board: Governance Actions Plan									Status at Audit Committees			
Item	Source	Source Ref.	Comment / Recommendation	Source Priority	IJB Assessed Priority	Management Response / Action	Action by	Due Date	Dec-22	Apr-23	Impact of Delay	April 2023 Status - Comment
1	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)	Not on track with major issues	Weakened governance	Work progressing with other HSCPs regarding finance, strategic and governance reporting for Lead Partner services. Proposal were being developed for completion by February 2023, but delayed due to sick leave.
2	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)	In Progress with minor issues	Weakened workforce planning	Final Guidance is being drafted following which consultation will be undertaken prior to final sign off.
3	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)	Not on track with major issues	Weakened financial planning	Ongoing unresolved In Patient Mental Health financial accountability issues remain where operational accountability remains with NHST. IJB have devolved authority to Chair and Vice Chair to consider solutions. Potential solutions are still under discussion regionally. LHSA activity has also been subject of recent discussion with NHST and proposals to move this forward at EMT in March 2023.
4	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)	Not on track with major issues	Weakened financial planning	Has not been progressed to date. IJB to review with Partners (Angus Council and NHST) appetite to re-start discussions about this issue. (Update to come to June 2023 Audit Committee).
5	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)	Not on track with major issues	Weakened management support	This work has not yet commenced. Now propose to consider during 2023/24.
6	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)	Originally March 2023, now March 2024	Not started Yet	Not on track with major issues	Weakened governance	The new Equalities Mainstreaming Report and set of Equality Outcomes have been published on the AHSCP website.
7	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)	Complete	Weakened governance	Work has been undertaken to identify all EQIA's completed over the last 3 years. These are now published separately on the AHSCP in order to satisfy a requirement of the EHRC. An audit log has been drafted as requested by the EHRC, this is due to be sent to them by 31 March 2023. A new EQIA template has been designed, this is due to be reviewed by key stakeholders prior to training and guidance being issued on how to complete the new template.
8					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)	Complete	Weakened governance	Annual Governance Document Update now shared with Audit Committee. This sets out timelins for updates, albeit remedial work is required to undertake these updates. (See report 81/22).