



ANGUS HEALTH AND SOCIAL CARE
INTEGRATION JOINT BOARD AUDIT COMMITTEE – 21 JUNE 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

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. These are 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Superseded	Action superseded or no longer relevant.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 Some actions may eventually be superseded by other circumstances, recommendations or actions. Once noted as “Superseded”, actions will not be reported at further IJB Audit Committees.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 Lead Partner Services

The IJB has previously committed to improving information sharing regarding Lead Partner services including assurance and governance information, planning information and finance information. Processes are now embedded to share clinical care governance reports between IJBs. Plans are in place to improve the sharing of financial management information but these plans need to be auctioned more consistently for 2023/24. More information can be found in Appendix 2.

- 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. 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.

- 3.4 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.

4. PROPOSALS

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
Appendix 2: Lead Partner Services

Angus Integration Joint Board: Governance Actions Plan

Appendix 1

									Status at Audit Committees			
Item	Source	Source Ref.	Comment / Recommendation	Source Priority	IJB Assessed Priority	Management Response / Action	Action by	Due Date	Apr-23	Jun-23	Impact of Delay	June 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	Not on track with major issues	Not on track with major issues	Weakened governance	Updates to be provided to Audit Committee on the development of consolidated information set regarding locally Lead Partner services covering Finance, Strategic and Governance reporting. Progress made from Governance reporting but more work needed in particular around finance.
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.	In Progress with minor issues	On track	Weakened workforce planning	Guidance on joint recruitment processes for matched posts has been completed. Awaiting sign off with Angus Council and NHST. Process has been completed for a small number of key joint job descriptions (non-care/clinical roles). Good progress also made with Health Care Assistant job descriptions and there adoption into Angus Council roles. Once this step is completed, it will be assumed this task is complete.
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.	Not on track with major issues	Not on track with major issues	Weakened financial planning	In Patient Mental Health financial accountability issues remain unresolved where operational accountability remains with NHST. IJB have devolved authority to Chair and Vice Chair to consider solutions. At 12 May 2023, NHST agreed to continue discussion regarding future arrangements.
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.	Not on track with major issues	Not on track with major issues	Weakened financial planning	LHSA activity has also been subject of recent discussion with NHST and proposals to move this forward at EMT in March 2023. This has not been progressed further due to capacity issues and competing priorities but will be progressed during 2023/24.
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.	Not on track with major issues	Not on track with major issues	Weakened management support	Update provided to June 2023 IJB meeting. Status of this action will be updated after June IJB meeting.
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 on track with major issues	Not on track with major issues	Weakened governance	This work has not yet commenced. Now propose to consider during 2023/24.

Appendix 2 – Lead Partner Services

Situation – Angus IJB is the Lead Partner IJB for a series of regional services. This includes Out of Hours, Forensic Medical Services, Continence Services and Speech Therapy. In turn, Dundee and Perth & Kinross IJBs are also Lead Partners IJBs for a range of services. These include Palliative Care, Psychological Therapies and Dietetics for Dundee and Prison Health Care, Public Dental Service and Podiatry for Perth & Kinross.

Background – From 2018/19, the IJB's Internal Auditors and the IJB's Governance statements have highlighted the need to improve the arrangements regarding sharing information and assurance regarding Lead Partner Services. While the IJB has developed discussion in clinical, governance and finance channels to progress this, the overall progress to develop a consolidated information flow across all perspectives has not yet been complete.

Assessment - In terms of the types of information requires to flow between IJBs the current situation is as follows: -

Clinical Care Governance – A process has been agreed following discussions with Dundee and Perth & Kinross IJBs to share Care Governance reports. It has been agreed that when a Lead Partner service reports to its local Clinical and Care Governance Group (CCPG), so that report would be shared with the Clinical and Care Governance Groups in the other 2 partnership. While this agreed process has not yet been formally documented, it is now being actioned. Within Angus, the Continence Service (Lead Partner Angus) submitted a CCPG report to the Angus April 2023 CCPG. This was shared with Dundee and Perth & Kinross equivalents in May 2023. Similarly, reports are now being received from other IJBs in Tayside into Angus.

Performance info – This is subject to further development and formalisation.

Risk info – This is subject to further development and formalisation.

Financial Reporting – Currently all IJB's share information monthly regarding the in-year financial performance of Lead Partner services. This includes month end outturns and projection to year ends. In the period 2020/21 to 2022/23, this information was extended to include significant information sharing regarding COVID-19 related costs. Beyond that, information is shared on a less formalised basis regarding financial planning and financial risks. Improvements expected during 2023/24 are the formalisation of information sharing beyond in year financial performance to include financial planning and financial risk information.

The IJB will continue to be updated regarding progress with this through Audit Committee report. We plan to do this at August 2023 and December 2023 meetings until all arrangements are in place.