



ANGUS HEALTH AND SOCIAL CARE

INTEGRATION JOINT BOARD – 13 DECEMBER 2023

CLINICAL CARE AND PROFESSIONAL GOVERNANCE ANNUAL ASSURANCE REPORT

REPORT BY ALEXANDER BERRY, CHIEF FINANCE OFFICER

ABSTRACT

This report is being brought to the Integration Joint Board (IJB) to provide assurance on the clinical and care governance activities and arrangements across the Partnership as outlined in the Getting It Right For Everyone Framework in accordance with the Partnership integration scheme. Clinical Governance is a statutory requirement to report on, at Board level, from Scottish Government as per NHS MEL (1998) 75. The IJB is being asked to provide their view on the level of assurance this report provides and therefore the level of assurance regarding clinical and care governance within the Partnership.

1. RECOMMENDATIONS

It is recommended that the Integration Joint Board: -

- (i) Review and accept the level of assurance provided by NHS Tayside Care Governance Committee in relation to Clinical, Care and Professional Governance within Angus HSCP.
- (ii) Review and accept the level of assurance provided by NHS Tayside Care Governance Committee in relation to Clinical, Care and Professional Governance in the Acute Division of NHS Tayside which includes delegated, locally managed NHS and Angus Council functions.
- (iii) Supports the continuation of an integrated approach, the frequency of meetings, and the breadth of the business undertaken at meetings of Angus Clinical, Care & Professional Governance Group.

2. BACKGROUND

The role of the Angus HSCP Clinical Care and Professional Governance Group is to provide assurance to the Angus Integration Joint Board (IJB), NHS Tayside Board (through the Care Governance Committee) and Angus Council, that there are effective and embedded systems for Clinical, Care and Professional Governance in all services within Angus HSCP.

The GIRFE Framework is an agreed tool used by all three HSCPs to ensure consistency of approach between Local Authorities, Tayside NHS Board and the IJBs for the three HSCPs; quality assurance is assessed against an agreed, prioritised common data set for each of the governance domains as detailed below.

The six domains continue to evolve over time and must be adaptable and responsive to the changes in legislation and external support and monitoring. The domains reflect the principles set out in the Health and Social Care Standards, My support, My life; Scottish Government, 2018 and the Quality of Care Approach, HIS and Care Inspectorate, September 2018. The domains are:

Information Governance
Professional Regulation and Workforce Development
Patient/Service user/Carer and Staff Safety
Patient/Service user/Carer and Staff Experience
Quality and effectiveness of care
Promotion of Equality and Social Justice

Objectives and responsibilities of the Angus Clinical Care and Professional Governance Group are to;

- Ensure there is a mechanism to measure quality, clinical and service effectiveness and improvement and sustainability within the 6 domains (incorporating the Health & Social Standards) for all Health and Social Care Partnership Services.
- Ensuring that partnership services provide evidence that care is delivered in the context of the 6 domains of Clinical, Care & Professional Governance incorporating the Health & Social Care Standards. This will be achieved through service level reports, presentation of data, and exception reporting within an agreed timetable, with a view to rationalising activity agreeing a series of measures and indicators which will support partnership services in providing assurances of high quality care provision.
- Ensuring that partnership services provide evidence that they proactively identify and monitor any operational risks within their service, and that any identified risks are actively managed.
- Ensure that the Angus IJB Strategic Risk Profile is being managed across the Angus HSCP and actions progressed to mitigate risk.
- Share and learn from best practice and innovative ways of working in relation to clinical, care and professional governance across the Health & Social Care Partnership.

3. CURRENT POSITION

The Angus HSCP Clinical, Care and Professional Governance (CCPG) Group provides assurance to the Angus Integration Joint Board (IJB), NHS Tayside Board (through the Care Governance Committee) and Angus Council, that there are effective and embedded systems for Clinical, Care and Professional Governance in all services within the Partnership.

This involves seeking assurances from all Partnership services that care provision is delivered safely and effectively within the context of the Healthcare Improvement Scotland Health and Social Care Standards and the six domains of Clinical, Care and Professional Governance contained within the Clinical, Care and Professional Governance Framework – Getting it Right for Everyone.

All services provide ongoing assurance to CCPG that there are robust processes in place for all six domains, and that there are ongoing efforts to further improve. This assurance includes both qualitative and quantitative information which is reported to the group on a regular basis throughout the year. This information is used to provide assurances to the Angus IJB, Tayside NHS Board and Angus Council of the provision of high quality, safe, effective and person-centred care.

Angus HSCP is a Lead Partner for a number of services, these services report to Angus CCPG. Systems and processes have been established to ensure that all three HSCPs receive copies of reports from other Lead Partner Services to support integration, and effective whole system working.

The CCPG Group also has a key responsibility in enabling learning across services, disciplines, and agencies, as well as the sharing of good practice and innovative ways of working.

The Partnership brings together a wide range of services, each of which has a unique perspective and areas of operating excellence. By exploring and embracing these different perspectives, the CCPG Group strives to create a shared understanding of how we can deliver integrated, high quality, safe, effective, and person-centred care within Angus.

The Business considered by Angus Clinical, Care & Professional Governance Group during 2022/23 has addressed the remit and function of the group; profiling national policy and local application of policy and guidance that affects practice.

The group met on six occasions during the period from 01 April 2023 to 30 September 2023 on the undernoted dates:

CCPG Assurance Meetings

- 10 April 2023
- 12 June 2023
- 14 August 2023

CCPG Risk & Resilience Meetings

- 15 May 2023
- 10 July 2023
- 11 September 2023

Appendix 1 – CCPG membership

Appendix 2 - Standing Agenda Items and Schedule of Business

NHS Tayside Care Governance Committee

AHSCP provide an Assurance Report to NHST Tayside Care Governance Committee 3 times per year. NHST Care Governance Committee is asked to provide their view on the level of assurance the report provides and therefore the level of assurance regards clinical and care governance within AHSCP. The Committee is also responsible for monitoring and reviewing strategic risks held by Angus Health. and Social Care Partnership.

At alternative meetings, an exception report is brought to the meeting to provide any exceptions since the last Angus HSCP assurance Report to Care Governance Committee.

Reports have been received positively by NHS Tayside (NHST) Care Governance Committee.

On 14 August 2023 AHSCP were awarded Substantial Assurance due to the following factors:

- AHSCP has a sound system of governance. Risk management and controls exist, with internal controls operating effectively (AHSCP Quality Assurance Report, REFLECT Framework) and are consistently applied to support the achievement of objectives.
- The Clinical, Care and Professional Governance activity across AHSCP continues to mature and advance and now provides clear structures of assurance.
- The AHSCP leadership team are committed to the ongoing improvement of systems and processes through a culture of learning, quality, and safety. This is demonstrated through improved outcomes and effective strategic risk improvements.

Separately we are aware that the NHS Tayside Care Governance Committee are reviewing he thresholds for assessing levels of assurance and this will be discussed again at the next NHS Tayside Care Governance Committee on 5th December 2023.

Table 1 below demonstrates the level of assurance provided to Angus HSCP and NHS

Tayside Acute Division over 2023. The level of Assurance Key is illustrated in Appendix 3.

Table 1

Assurance Report	10 April 2023	12 June 2023	14 August 2023
Angus HSCP	Reasonable	Exception Report	Substantial
NHS Tayside Acute Division	Reasonable	Reasonable	Exception Report

The CCPG also provides the following updates:

- Mid-Year and Annual Report to Angus Integrated Joint Board Audit Committee.
- Risk Management update to Tayside Strategic Risk Management Group

4. PROPOSALS

From April 2023 the Clinical Care and Professional Governance Group met monthly with the focus alternating between service quality assurance, and strategic risk, adverse event management and resilience. It is proposed that this meeting frequency and format will continue throughout the next year.

5. FINANCIAL IMPLICATIONS

There are no financial implications for the Integrated Joint Board to consider.

6. RISK

There are no risks for the IJB to consider.

7. OTHER IMPLICATIONS

There are no other implications for the Integrated Joint Board to consider.

8. EQUALITY IMPACT ASSESSMENT

An Equality Impact Assessment is not required.

9. DIRECTIONS

The Integration Joint Board requires a mechanism to action its strategic commissioning plans and this is provided for in Section 26 to 28 of the Public Bodies (Joint Working) (Scotland) Act 2014. This mechanism takes the form of binding directions from the Integration Joint Board to one or both of Angus Council and NHS Tayside.

Direction Required to Angus Council, NHS Tayside or Both	Direction to:	
	No Direction Required	x
	Angus Council	
	NHS Tayside	
	Angus Council and NHS Tayside	

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List of Appendices:

Appendix 1	Membership of Group
Appendix 2	Standing Agenda Items for Assurance & Risk Meetings, Schedule of Business
Appendix 3	Level of Assurance Key

Membership - Angus Clinical Care & Professional Governance Group

Chairperson and Vice-Chairperson

Job Title	Date Joined or Resigned (if during year)
Associate Medical Director (Chair)	
Lead Nurse (Vice Chair)	

Members

Job Title	Date Joined or Resigned (if during year)
Clinical Academic Nurse Consultant for Older People	
Head of Community Health & Care Services - Designated representative of Angus Chief Social Work Officer (Executive Lead for Planning and Commissioning)	
Head of Community and Care Services - Social Work Lead Professional for AHSCP (Executive Lead for Adult Support and Protection and Contracts and Commissioning)	
Senior Nurse, MIU	
Justice Healthcare Service Manager	
Senior Nurse Justice Healthcare	
Senior Nurse, Medicine for the Elderly	
IJB Records Manager, Angus Council	
Service Manger, Accommodation and Home Care	
Head of Community Health & Care Services (Executive Lead for Audit, Improvement & Performance)	
Senior Nurse, Care Homes	
Physiotherapy Service Manager	
Specialist Nurse – Continence and Advisory Treatment Service	
Service Leader, Mental Health	
Service Manager, Disabilities Service	
Angus Lead Pharmacist	
Service Manager, Angus Integrated Drug & Alcohol Recovery Service/Homeless Support Service/Volunteers Service, Mental Health Supported Accommodation	
Head of Community Health & Care Services	
Angus AHP Lead	
Interim Lead Community Hospitals/ANP's/Discharge Co-ordinators	
Primary Care Team Manager	
Principal Planning Officer	
Service Manager, Care Management	
General Manager, Primary Care Services	
Senior Nurse Primary Care, Community Nursing	
Chief Officer, Angus HSCP	
AHP Service Manager	

Primary Care Team Manager – OOH and 2C Practices	
Senior Nurse, Psychiatry of Old Age	
Programme Manager & Data Protection Officer	
Third Sector Representative	
Falls Service Co-Ordinator	

STANDING AGENDA ITEMS – ASSURANCE

Item
WELCOME & APOLOGIES
DECLARATIONS OF INTEREST
ACTION NOTE OF MEETING –
ACTION NOTE UPDATE –
URGENT BUSINESS NOT ON THE AGENDA
INFECTION PREVENTION AND CONTROL
COMPLAINTS AND FEEDBACK
REFLECT FRAMEWORK
CLINICAL, CARE & PROFESSIONAL GOVERNANCE & PERFORMANCE QUALITY ASSURANCE & EXCEPTION REPORTS
INFORMATION GOVERNANCE
PAPERS FOR INFORMATION

SCHEDULE OF BUSINESS – CCPG ASSURANCE GROUP

Date of Meeting	SCHEDULE OF BUSINESS
<p>10 April 2023</p>	<p>CLINICAL, CARE & PROFESSIONAL GOVERNANCE & PERFORMANCE SERVICE EXCEPTION REPORTING</p> <p>Spiritual Care Contenance Advisory & Treatment Services AIDARs</p> <p>INFECTION PREVENTION AND CONTROL</p> <p>Infection Prevention and Control Report</p> <p>COMPLAINTS AND FEEDBACK</p> <p>Health and Social Work Complaints Quarterly Report Learning Summary – Bullying and Harassment</p> <p>SHARING LOCAL ADVERSE EVENT REVIEW LEARNING SUMMARY</p> <p>REFLECT FRAMEWORK</p> <p>Progress Update from services</p> <p>HIS – INSPECTION POLICE CUSTODY</p> <p>PAPERS FOR INFORMATION</p>
<p>12 June 2023</p>	<p>SHARING SUCCESSES</p> <p>Contenance Reducing CAUTI Poster</p> <p>CLINICAL, CARE & PROFESSIONAL GOVERNANCE & PERFORMANCE SERVICE EXCEPTION REPORTING</p> <p>AHP Service District Nursing Service (including Cardiac Rehab) Disabilities Service</p> <p>INFECTION PREVENTION AND CONTROL</p> <p>AHSCP IPCC Assurance Report</p> <p>COMPLAINTS AND FEEDBACK</p> <p>Social Work Quarterly Flash Report SPSO</p> <p>Decision Report 202107945 Decision Report 202109469 Decision Report 202109894</p> <p>INSPECTION /AUDIT REPORTS</p> <p>Angus Council Accommodation with Support Service (Mental Health) – Care Inspectorate Report Learning from Inspections SBAR</p>

	<p>REFLECT FRAMEWORK</p> <p>Progress Update from services</p> <p>LEAD PARTNER REPORTS</p> <p>Annual Report - Prisoner Healthcare Annual Report – Public Dental Service</p> <p>PAPERS FOR INFORMATION & CONSIDERATION</p> <p>Getting it Right Newsletter GP DATIX Summary DHSCP REF Guide Newsletter Mid Staffordshire Report</p>
<p>14 August 2023</p>	<p>CLINICAL, CARE & PROFESSIONAL GOVERNANCE & PERFORMANCE SERVICE EXCEPTION REPORTING</p> <p>Older People Care Management Community Mental Health Teams Older People AIDARs Minor Injuries & Illness Units (MIU) & Integrated Overnight Nursing Angus (IONA) AHSCP Shared Learning Event Feedback CPG Annual Assurance Report</p> <p>COMPLAINTS AND FEEDBACK</p> <p>SW Compliments and Complaints Flash Report Health Compliments and Complaints Flash Report Care Opinion Flash Report SPSO findings: themes and trends July 2023 Decision report – South Lanarkshire HSCP</p> <p>INSPECTION /AUDIT REPORTS</p> <p>Learning from Inspections data Improvement Action Plan – Angus Council Internal Audit Angus Health and Social Care Partnership (AHSCP) AWI Improvement Plan SCR P19 Recommendations Progress Update July 2023</p> <p>HEALTH & SAFETY</p> <p>Health & Safety Assurance Report for Angus Health and Social Care Partnership</p> <p>REFLECT FRAMEWORK</p> <p>Progress Update from services</p> <p>PAPERS FOR INFORMATION</p> <p>CCPG Report Submission Timetable Getting it Right Newsletter Tayside Complaints Workshop Leading an Adverse Event Review Training AHSCP Assurance Report to NHST Care Governance Committee</p>

Angus Clinical, Care & Professional Governance – Risk & Resilience Group

Item
WELCOME & APOLOGIES
DECLARATION OF INTERESTS
URGENT BUSINESS NOT ON THE AGENDA
ACTION NOTE OF MEETING OF –
ACTION NOTE UPDATE –
RISK MATRIX and BOARD ASSURANCE FRAMEWORK
STRATEGIC RISKS
EMERGING RISKS
ADVERSE EVENT MANAGEMENT
INFORMATION GOVERNANCE
PAPERS FOR INFORMATION ONLY:-





SCHEDULE OF BUSINESS – RISK

Date of Meeting	SCHEDULE OF BUSINESS
<p>15 May 2023</p>	<p>RISK MATRIX and BOARD ASSURANCE FRAMEWORK STRATEGIC RISKS</p> <p>Angus HSCP Strategic Risk Profile & Risk Matrix SR01 Sustainability of Primary Care Services SR02 Prescribing Risk SR16 Non-integration of Adverse Event, Risk Management and Complaints Handling SR21 Equalities SR24 Unmet Needs Mental Health Strategic Risk Risk Management Process</p> <p>EMERGING RISKS</p> <p>Multi-Agency Psychiatric Emergency Plan Catheter Supplies Risk 635 Availability of a female Sexual Offences Examiner</p> <p>ADVERSE EVENT MANAGEMENT/ INFORMATION GOVERNANCE</p> <p>Adverse Event/Information Governance Report SAER Learning Summary – Ectopic Pregnancy SPSO Learning Summary – MFE</p> <p>RESILIENCE</p> <p>Business Continuity Plans (BCPs) Emergency Planning CAT 1 Responder Prevent Duty</p> <p>TERMS OF REFERENCE</p> <p>CCPG Terms of Reference 2023/2024</p> <p>AHSCP REPORTS FOR INFORMATION</p> <p>NHST Care Governance Committee NHST Strategic Risk Management Group</p> <p>PAPERS FOR INFORMATION ONLY</p> <p>NHST Guidance for Retention of NMP Documentation</p>
<p>10 July 2023</p>	<p>RISK MATRIX and BOARD ASSURANCE FRAMEWORK STRATEGIC RISKS</p> <p>Angus HSCP Strategic Risk Profile & Risk Matrix SR14 Adult Support & Protection Assurance Report SR21 Equalities Assurance Report SR25 AHSCP Mental Health (DRAFT)</p> <p>EMERGING RISKS</p> <p>Medical Supplies: Catheter Risk 635 Availability of a Female Sexual Offences Examiner IT Systems – Recording of Clinical Information Significant Adverse Event Review Process – Independent Reviewers</p>

	<p>ADVERSE EVENT MANAGEMENT/ INFORMATION GOVERNANCE</p> <p>Adverse Event Management Report Information Governance – Data Breach Report</p> <p>RESILIENCE</p> <p>AHSCP Resilience Planning Update Report Business Continuity Plans (BCPs) Emergency Planning CAT 1 Responder Prevent Duty</p> <p>TERMS OF REFERENCE</p> <p>CCPG Terms of Reference 2023/2024 CCPG Reporting Schedule 2023/2024</p> <p>AHSCP REPORTS FOR DISCUSSION</p> <p>Realistic Medicine – Doing the Right Thing Angus IJB Annual Internal Audit Report 2022/2023 Mental Health & Wellbeing Strategy</p> <p>PAPERS FOR INFORMATION</p>
<p>11 September 2023</p>	<p>RESILIENCE</p> <p>AHSCP Resilience Planning Update Business Continuity Plans (BCPs) Emergency Planning CAT 1 Responder Prevent Duty</p> <p>ADVERSE EVENT MANAGEMENT/ INFORMATION GOVERNANCE</p> <p>Adverse Event Management Report Information Governance – Data Breach Report</p> <p>STRATEGIC RISKS (<i>highlight exceptions/issues for escalation 15min including questions</i>)</p> <p>SR08 Workforce Optimisation SR03 Financial Management SR02 Prescribing Risk</p> <p>EMERGING RISKS</p> <p>IT Systems – Recording of Clinical Information Significant Adverse Event Review Process - Independent Reviewers Primary Care in Relation to General Practice Angus Medical Supply to Nanometre & Medical Supplies: Catheter Risk 635 Availability of a Female Sexual Offences Examiner Rossie School Housing Adaption</p>

	<p>AHSCP REPORTS FOR DISCUSSION</p> <p>NHST Due Diligence Review Letter Verdict in the trial of Lucy Letby</p> <p>TERMS OF REFERENCE</p> <p>CCPG Terms of Reference 2023/2024 CCPG Reporting Schedule 2023/2024</p>
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Level of Assurance Key

Level of Assurance		System Adequacy	Controls	✓
Substantial Assurance		A sound system of governance, risk management and control exists, with internal controls operating effectively and being consistently applied to support the achievement of objectives in the area audited.	Controls are applied continuously or with only minor lapses.	
Reasonable Assurance		There is a generally sound system of governance, risk management and control in place. Some issues, non-compliance or scope for improvement were identified which may put at risk the achievement of objectives in the area audited.	Controls are applied frequently but with evidence of non-compliance.	
Limited Assurance		Significant gaps, weaknesses or non-compliance were identified. Improvement is required to the system of governance, risk management and control to effectively manage risks to the achievement of objectives in the area audited.	Controls are applied but with some significant lapses.	
No Assurance		Immediate action is required to address fundamental gaps, weaknesses or non-compliance identified. The system of governance, risk management and control is inadequate to effectively manage risks to the achievement of objectives in the area audited.	Significant breakdown in the application of controls.	