



ANGUS HEALTH AND SOCIAL CARE
INTEGRATION JOINT BOARD AUDIT COMMITTEE – 13 DECEMBER 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.
- (ii) Agree the Governance Actions Plan be merged into the Internal Audit Follow Up Actions Report as a separate appendix for future Audit Committee meetings.

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 is 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	Overdue actions

(Highlighted Amber)	
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Superseded	Action superseded or no longer relevant.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 Some actions may eventually be superseded by other circumstances, recommendations or actions. Once noted as “Superseded”, actions will not be reported at further IJB Audit Committees.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 - At the Audit Committee meeting on 23 August 2023 it was advised an update would be provided at the December 2023 Audit Committee meeting. An interim update can be found in Appendix 2.

3.3 After the IJB Audit Committee Development Session, one action has now been completed as detailed in Appendix 1. However, other 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.

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

4.1 The IJB should note the attached IJB Governance Actions Plan and request updates are submitted to future IJB Audit Committee Meetings.

4.2 Noting this report is now shorter, it is recommended that going forward the Governance Actions Plan be merged into the Internal Audit Follow Up Actions Report as a separate appendix.

5. EQUALITY IMPACT ASSESSMENT

An Equality Impact Assessment is not required.

REPORT AUTHOR: Alexander Berry, Chief Finance Officer
E-mail details: tay.angushscp@nhs.scot

List of Appendices: Appendix 1: Angus IJB Governance Actions Plan
Appendix 2: Lead Partner Services – Interim Update

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 2023 Status - Comment
									Aug-23	Dec-23	Impact of Delay	
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	In Progress with minor issues	In Progress with minor issues	Weakened governance	Lead partner meetings with Heads of Service and CFOs from all three HSCPs have now been reestablished to progress.
2	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. At December 2023, it is increasingly likely discussion may require an in-year only solution for 2023/24.
3	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 was subject of 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. Improved activity information being developed.
4	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	Complete	Weakened governance	Update discussed at IJB Audit Committee Development Session in October 2023. Confirmed that IJB is compliant with CIPFA "Ethical Framework" and action point therefore complete.

Appendix 2 – Lead Partner Services – Interim Update

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 required to flow between IJBs this can be summarised as follows:-

- Clinical Care Governance.
- Performance Information.
- Risk Management information.
- Financial Reporting.

Collectively, IJBs in Tayside have now set up a Lead Partner Forum with attendance including Heads of Community Health and Care Services and Chief Finance Officers. Building on previous Clinical Care Governance arrangements, processes are now better developed for each of Performance, Risk and Financial reporting.

It is expected that emerging typical agenda for Lead Partner Forum will includes likes of:-

1. Overview of All Lead Partner Services.
2. Relevant national updates.
3. Clinical Care Governance Reporting.
4. Financial reporting including regarding budget, financial performance and financial risks.
5. Performance Reporting.
6. Risk Management.
7. Dispute Resolution

As noted, these arrangements are emerging and final update setting out completed arrangements will be provided to the April 2024 Committee.