

REPORT TO: HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD– 23 AUGUST 2023

REPORT ON: PERFORMANCE AND AUDIT COMMITTEE ANNUAL REPORT 2022/23

REPORT BY: CHIEF FINANCE OFFICER

REPORT NO: DIJB44-2023

1.0 PURPOSE OF REPORT

1.1 This report provides the Integration Joint Board with an overview of the activities of the Performance and Audit Committee over 2022/23.

2.0 RECOMMENDATIONS

It is recommended that the Integration Joint Board (IJB):

2.1 Notes the content of the Performance and Audit Committees' Annual Report for the year 2022/23.

3.0 FINANCIAL IMPLICATIONS

3.1 None.

4.0 MAIN TEXT

4.1 The Performance and Audit Committee (PAC) was established as a Standing Committee of the Integration Joint Board (IJB) at the IJB meeting of the 30 August 2016 (Item IX of the minute refers) to ensure the IJB met its responsibilities for governance under the Integrated Resources Advisory Group (IRAG) guidance. Following this approval, the PAC first met on 17 January 2017 and has met on a regular basis ever since, with terms of reference stating it must meet at least three times within each financial year.

4.2 The purpose of the PAC is to provide independent assurance on the adequacy of the risk management framework, the internal control environment and the integrity of governance processes. The PAC also scrutinises performance and best value arrangements. The membership of the PAC consists of not less than six members of the IJB of which four will be voting members. The Chair of the PAC is not the Chair of the IJB and rotates between a voting member from NHS Tayside and a voting member from Dundee City Council and rotates on the same frequency as the Chair of the IJB.

4.3 Following a recommendation from Internal Audit, this is the first Performance and Audit Committee Annual Report provided from the committee to the IJB in order to provide oversight and assurance of the activities the PAC has undertaken over the 2022/23 financial year.

4.4 Over the course of 2022/23 the PAC met on four occasions. The agendas of these meetings consisted of a core suite of regular reporting to each meeting of the PAC with additional reports presented as necessary or at the request of members of the committee. The PAC also receives annual reports falling as part of their remit. Following each meeting of the PAC, the Chair provides an assurance report to the next meeting of the IJB. From July 2022 to February 2023 the PAC considered the following:

Item	20/7/2022	28/09/2022	23/11/2022	01/02/2023
Governance & Assurance:				
Strategic Risk Register	✓	✓	✓	✓
Governance Action Plan	✓	✓	✓	✓
PAC Action Tracker	✓	✓	✓	✓
Internal Audit Plan 2022/23 & Appointment of Chief Internal Auditor	✓			
Internal Audit Plan Progress Report	✓	✓	✓	✓
Internal Audit Report on IJB as Category 1 Responder	✓			
Internal Audit Report – Sustainability of Primary Care				✓
Performance:				
Quarterly Performance Report	✓	✓	✓	✓
Quarterly Complaints Performance Reporting			✓	
Health & Care Experience Survey 2021/2022 Analysis	✓			
Analytical Review of Emergency Admission Rates	✓			
Falls Performance Report		✓		
Care Inspectorate Gratings for Care Homes 2021/22		✓		
Drug and Alcohol Service Indicators			✓	
Discharge Management Performance Update – Complex and Standard Delays			✓	
Mental Health Services Indicators			✓	
Annual Accounts:				
Dundee IJB Audited Annual Accounts and External Auditors Annual Report			✓	
Clinical & Care Governance:				
Dundee HSCP Clinical Care and Professional Governance Assurance Report	✓	✓	✓	✓
Adult Weight Management			✓	

From the above it can be seen that the PAC considered a range of areas including:

- Regular governance reporting updates
- Reports in respect of year end assurances and audited annual accounts
- Regular reporting on internal audit activity
- Regular reporting on risk management and the IJBs Strategic Risk profile
- In depth reporting on specific areas of performance
- Assurances around Clinical Care and Professional Governance.

4.5 The work of the PAC throughout the year helps to inform the IJB's Annual Governance Statement, a key element of the IJB's governance process and part of the IJB's Audit Accounts. This work also informs both Internal and External Audit opinion on the system of controls the IJB

has in place and ultimately whether they think there are appropriate and proportionate governance arrangements to meet regulatory and legislative requirements.

4.6 The IJB received the Annual Internal Audit Report at its meeting of the 21st June 2023 (Article XIV of the minute refers). As part of the recommendations of the report, the Chief Internal Auditor noted that there continued to be a number of outstanding actions within the Governance Action Plan and further internal audit recommendations which had not been incorporated into the action plan for which there was little or no progress made. While this did not impact on their overall opinion that reliance can be placed on the IJB's governance arrangements and systems of internal controls for 2022/23 they did recommend that this should be brought to the attention of the IJB. The audit recommendations have been agreed by management.

4.7 It is recognised that the PAC terms of reference are due to be reviewed and this will be undertaken during 2023/24 with any proposed changes presented to the IJB for agreement in due course.

4.8 The commitment of the members of the Performance and Audit Committee as well as the support provided to it by officers including Dundee City Council's Committee Services is acknowledged. Pat Kilpatrick held the position of Chair of the PAC until October 2022 when she became Chair of the IJB with Councillor Ken Lynn taking over the Chair of the PAC. Other IJB voting members attending the PAC during 2022/23 were Bailie Helen Wright, Councillor Siobhan Tolland, Councillor Dorothy McHugh and NHS Non Executives Donald McPherson, Annie Buchanan and Sam Riddell.

5.0 POLICY IMPLICATIONS

5.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

6.0 RISK ASSESSMENT

6.1 This report has not been subject to a risk assessment as it is an annual report of activity and does not require any policy or financial decisions at this time.

7.0 CONSULTATIONS

7.1 The Chief Officer and the Clerk were consulted in the preparation of this report.

8.0 DIRECTIONS

The Integration Joint Board requires a mechanism to action its strategic commissioning plans and this is provided for in sections 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 Dundee City Council and NHS Tayside.

Direction Required to Dundee City Council, NHS Tayside or Both	Direction to:	
	1. No Direction Required	✓
	2. Dundee City Council	
	3. NHS Tayside	
	4. Dundee City Council and NHS Tayside	

9.0 BACKGROUND PAPERS

9.1 None.

Dave Berry
Chief Finance Officer

Date: 10 August 2023