



REPORT TO: PERFORMANCE & AUDIT COMMITTEE – 25 MARCH 2019
REPORT ON: GOVERNANCE ACTION PLAN
REPORT BY: CHIEF FINANCE OFFICER
REPORT NO: PAC15-2019

1.0 PURPOSE OF REPORT

The purpose of this report is to consider a proposed Governance Action Plan to enable the Performance and Audit Committee to regularly monitor progress in implementing agreed actions arising from internal and external audit recommendations.

2.0 RECOMMENDATIONS

It is recommended that the Performance & Audit Committee (PAC):

- 2.1 Notes and approves the proposed Governance Action Plan as outlined in Appendix 1.
- 2.2 Remits the Chief Finance Officer to present an update progress report to each Performance and Audit Committee meeting.

3.0 FINANCIAL IMPLICATIONS

None.

4.0 MAIN TEXT

- 4.1 Dundee Integration Joint Board's Annual Internal Audit Report was presented to the Performance and Audit Committee at its meeting on the 31st July 2018 (Article XI of the minute of the meeting refers – PAC47-2018). This report noted that the Chief Internal Auditor's assessment of the IJB's governance, risk management and control frameworks as they had developed during 2017/18 had established no major issues and that the IJB had adequate and effective internal controls in place proportionate to its responsibilities in 2017/18. The report noted a number of areas of planned improvements alongside a range of recommended further issues for consideration by management.
- 4.2 One of these recommendations was to develop an overall Governance Action Plan in order to ensure that identified and agreed actions arising from the Integration Joint Board's own self-assessment and internal and external audit recommendations are progressed accordingly. This would include an assessment on a red-amber-green basis for outstanding issues and provide clarity on whether actions are on track, any remedial action being taken and the effectiveness of the remedial action. This would enable the PAC to regularly monitor progress in implementing actions and understands the consequences of any non-achievement or slippage in strengthening its overall governance arrangements.
- 4.3 The draft Governance Action Plan is attached at Appendix 1 and it should be noted that given the Chief Internal Auditor and External Auditor have reflected any outstanding actions from previous years governance assessments in their respective 2017/18 audit reports, the plan does not commence from the creation of the IJB. The Chief Internal Auditor will provide an assessment of the adequacy of this as part of their 2018/19 Annual Internal Audit Report.

5.0 POLICY IMPLICATIONS

This report has been screened for any policy implications in respect of Equality Impact Assessment and Risk Management. There are no major issues.

6.0 RISK ASSESSMENT

This report has not been subject to a risk assessment as it relates to the development of an action plan in line with the findings of the Annual Internal Audit Report.

7.0 CONSULTATIONS

The Chief Officer, Chief Internal Auditor and the Clerk were consulted in the preparation of this report.

8.0 BACKGROUND PAPERS

None.

Dave Berry
Chief Finance Officer

DATE: 4th March 2019

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Performance & Audit Committee Report	Audit Recommendation	Agreed Action	Action By / Date	Red: Behind Schedule Amber: In Progress Green : Complete	Remedial Action/Comments
Dundee Integration Joint Board Clinical, Care and Professional Governance Internal Audit Review (PAC9-2018) 13 th February 2018	A review should be undertaken to establish or update the remits of the PAC, R2 and Forum in relation to clinical and care governance. The remits should set out reporting lines and be translated into annual work plans for each group. This should ensure reports, both for the purpose of assurance as well as for implementation or delivery, go to the most appropriate group.	Undertake review as outlined in the Audit Recommendations, setting out the remits of the PAC, R2 and Forum, and the reporting lines between all three. This process should also be followed for the Mental Health Governance Group to ensure appropriate lines of communication into the DHSCP governance processes.	Lead Allied Health Professional (Forum) Clinical Director (R2) Chief Finance Officer (PAC) Associate Nurse Director - Mental Health and Learning Disabilities 31 March 2018	RED	Mental Health Governance Group (Tayside wide) has been disbanded and now sits directly within partnerships R2 terms of reference reviewed. Revised PAC terms of reference required to be completed.
	A particular focus should be given to the level and nature of data to be provided at each level. This should include consideration of the fact that groups may need related information to provide context and allow triangulation.	Produce (review) Terms of Reference to define the governance arrangements including clear reporting between each group.	Lead Allied Health Professional / Head of Service, Health and Community Care 31 March 2018	GREEN	
	In addition to the 6 domains of clinical and care governance across delegated services, this	Clarify and agree datasets and information to be presented at each group and associated	Lead Allied Health Professional / Head of Service,	AMBER	Hosted issue not yet resolved – discussions ongoing

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	review of remits needs to give consideration to: - Hosted services - Information Governance - Care Commission reports - Risk	timescales to ensure coordination of governance process.	Health and Community Care 30 June 2018		Information Governance – complete – included in R2 reporting arrangements Care Inspectorate reports- through R2 and PAC Risk – through R2 however needs to be developed further.
	It is recommended that any new arrangements be considered and approved by the IJB or a nominated Committee/group.	The IJB will formally request that the Chair of the R1 Group advise the IJB of performance of R1 and any new arrangements to be implemented. Chief Officer of DIJB to clarify reporting arrangements between R1 and IJB. Regular representation at the R1 and CQF will be provided from the R2 Group.	Chief Officer Lead Allied Health Professional / Head of Service, Health and Community Care 31 July 2018 (To allow time for R1 meetings to run)	AMBER	Work is going on at a Tayside level to review the Getting It Right For Everyone clinical and care governance framework. Work is ongoing to finalise and agree reporting arrangements between R1, IJB,R2 and Clinical Quality Forum.
	Work undertaken to map out the assurance routes for the key domains should be further	Integration scheme delegated functions will be mapped to ensure forum membership	Lead Allied Health Professional / Head of Service,	AMBER	Programme reporting covering all services will all be completed

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Dundee Integration Joint Board Workforce Internal Audit Review (PAC8-2018) 27 th March 2018	<p>Work to fully implement the actions in the Workforce and Organisational Development Strategy should continue with regular reporting on progress towards implementation being submitted to the IJB.</p> <p>In addition, Locality Managers should strive towards ensuring that the DH&SCP culture becomes fully embedded.</p> <p>Engaging staff in developing and maintaining the partnership culture as well as sharing and embedding the guiding principles should assist with this.</p>	<p>The DH&SCP management team fully recognises the need to ensure the vision and objectives of the Workforce and Organisational Development Strategy become embedded within the partnership and acknowledged that this is a fundamental element of the partnership’s continued development.</p> <p>Implementing in full the actions in the Strategy has been identified by the operational management team as one of the key actions to be delivered over the next 6 months.</p>	Head of Health and Community Care / Head of Finance and Strategic Planning August 2018	RED	Review of Workforce and Organisational development strategy as companion document to the review of Strategic Plan therefore revise timescales for implementation once this is agreed.
	Consideration should be given to developing a formal Service Level Agreement (SLA) detailing all key corporate support services to be provided to the DH&SCP by Dundee City Council and NHS Tayside.	The DH&SCP Management Team continues to monitor the level of support being provided to the IJB from NHS Tayside and Dundee City Council on an informal basis and responds to the organisations in relation to shortfalls in service provision	Head of Finance and Strategic Planning August 2018	RED	Current level of resources have not enabled progress to be made. Proposals for enhanced IJB support functions being developed within the

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	<p>The service provided should be regularly reviewed along with the SLA to ensure that the defined support is being provided and the SLA continues to be appropriate. Alternatively, in the absence of a SLA, specific details regarding the types and level of support expected should be clearly documented and formally agreed by senior management at the DH&SCP, Dundee City Council and NHS Tayside.</p> <p>In addition, regular reports on the support service requirements should be provided to the IJB.</p>	<p>accordingly.</p> <p>Given the current stage in the partnership’s development, with greater knowledge and awareness of what the partnership needs to support its business, the service will progress with its partners, a more formal statement of the expected level of support which can subsequently be monitored and report to the IJB.</p>			<p>H&SCP to assist taking this and other governance issues forward.</p>
	<p>Future workforce plans for DH&SCP should include plans for all areas of delegated responsibility, tailored to deliver the relevant elements of the Strategic Plan.</p> <p>Plans should take account of demand for and availability of</p>	<p>As DH&SCP continues to evolve, with the continued development of integrated locality based services and redesign of services, the shape and mix of the workforce required to deliver on the IJB’s strategic objectives is becoming clearer and will be</p>	<p>Head of Health and Community Care / Head of Finance and Strategic Planning</p> <p>August 2018</p>	<p>RED</p>	<p>Revised Workforce and Organisational Development Plans will be presented to the IJB in April 2019</p>

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	staff to maximise the use of resources within the DH&SCP.	reflected in future integrated workforce plans. While acknowledging that further national guidance is awaited on this matter, the first integrated workforce plan will be developed over the next 6 months.			
Action Plan in Response to the Services for Older People (Edinburgh) Inspection Report <i>(PAC 29-2018)</i> 29 th May 2018	Action Plan was requested by the PAC in relation to lessons learned from the Edinburgh inspection and what improvements would be required in Dundee.	A wide range of actions are reflected in this detailed action plan therefore it is not feasible to reflect in this plan – a separate update report will be provided at the May 2019 PAC.	Various with latest timescales for completed action identified as March 2019.	AMBER	
Risk Management Action Plan <i>(PAC8-2019)</i> 12 th February 2019	Action Plan was required to respond to the findings of the Risk Maturity Assessment presented to the PAC on the 25 th September 2018.	A wide range of actions are reflected in this detailed action plan therefore it is not feasible to reflect in this plan. A separate update report will be provided to the September 2019 PAC meeting as agreed.	Chief Finance Officer September 2019	AMBER	
Transformation and Service Redesign Internal Audit Report <i>(PAC9-2019)</i> 12 th February 2019	Range of recommendations arising from the report.	Chief Finance Officer to provide an action plan in response to the issues raised within the report to be held on 28 th May 2019.	Chief Finance Officer May 2019	AMBER	

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2017/18 Annual Internal Audit Report – Action Plan Update <i>(PAC7-2019)</i> 12 th February 2019	Review of Action Plan developed to respond to the range of areas for improvement arising from the IJB's 2017/18 Annual Internal Audit Plan.	Wide range of actions detailed in the action plan. Chief Finance Officer to provide an update to the PAC by June 2019 outlining the status of the outstanding actions.	Not Applicable		
<i>The following reflects the detail of this action plan</i>	Clarification of deputising arrangements for the Chief Officer to be presented to the IJB.	Agreement to be reached between Chief Executives of Dundee City Council and NHS Tayside.	Revised February 2019	AMBER	
	Consideration should be given to providing the IJB with reporting on workforce issues including the Workforce and Organisational Development Strategy as well as the partnership forum.	Complete review of Workforce and Organisational Development Strategy and provide update to IJB. Consider frequency and content of update report of activities of Staff Partnership Forum.	Revised April 2019	AMBER	
	Developments in relation to clinical and care governance should take into account the Social Work Scotland guidance document on Governance for quality social care in Scotland.	To be tabled as agenda item for Clinical and Care Governance Group for progressing.	Revised March 2019	GREEN	Taken into account as part of review of terms of reference.
	Consideration should be given to arrangements required by the IJB to comply with Freedom of Information and	Review current arrangements in place across the IJB/NHS Tayside and Dundee City Council to determine if they	Revised April 2019	AMBER	

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	Public Records legislation.	are effective in meeting the IJB’s statutory requirements.			
	Development of Large Hospital Set Aside arrangements in conjunction with the Scottish Government, NHS Tayside and Angus and Perth and Kinross Integration Joint Boards.	Work progressing with NHS Tayside in association with the 3 Tayside IJB Chief Finance Officers and Scottish Government to conclude the methodology for determining and monitoring the Large Hospital Set Aside to inform commissioning decisions as set out within the legislation.	Revised - March 2019	AMBER	
	Implementation of an action points update to each meeting of the IJB and PAC in addition to an annual work plan to be agreed for both meetings.	To be developed as suggested and implemented with effect from the October 2018 IJB meeting (subsequently revised to April).	Revised April 2019	AMBER	DCC Committee Services support for all DCC and associated services currently under review which includes recording of actions.
	Development of improved Hosted Services arrangements around risk and performance management for hosted services.	Current hosted services arrangements subject to discussion across the 3 Tayside Chief Officers and Chief Finance Officers. Proposal to be brought forward to IJB and PAC before the end of the financial year.	Revised June 2019	AMBER	

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	Development of an overall Governance Action Plan to progress previous recommended areas for improvement.	To be developed as suggested.	Revised March 2019	GREEN	
	Development of regular IJB and PAC member induction and development process.	To be developed as suggested.	Revised June 2019	AMBER	PAC members development session held in November. To be taken forward with organisational development from partner bodies.
	Further develop the Integration Joint Board's local Code of Governance.	To be developed as suggested.	Revised April 2019	AMBER	Clerk to the Board developing arrangements in conjunction with Chief Finance Officer.
	Present the governance principles adopted by the Health and Social Care Partnership.	To be presented to the February 2019 IJB meeting.	Revised April 2019	AMBER	
	Development of multi-year financial plan as part of the review of the Strategic and Commissioning Plan.	Development of multi- year financial plan to be part of the budget setting process for 2019/20 and beyond which will reflect and be incorporated into the revised Strategic and Commissioning Plan.	March 2019	AMBER	Will be incorporated within the review of the Strategic Plan and the IJB's budget setting report to be presented to the March 2019 IJB meeting.

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	Update the Integration Joint Board’s Participation and Engagement Strategy.	To be taken forward by the Communication and Engagement Group as part of the review of the Strategic and Commissioning Plan.	Revised June 2019	AMBER	Delivering the Strategic Plan is the priority with the Communication and Engagement Strategy a key companion document to the plan – this will be presented to the June IJB meeting.
	Develop Scheme of further delegation in relation to delegated services to the Integration Joint Board.	To be developed as suggested.	Revised April 2019	AMBER	
	Clarify responsibilities and accountabilities around the impact of General Data Protection Regulations (GDPR) legislation with partner bodies.	Update report to be presented to the October IJB meeting.	October 2018	GREEN	
	Update and enhance the IJB’s Risk Management Strategy and further develop the IJB’s operational risk register.	To be developed as suggested. Recommendations of the Internal Audit review of Risk Management to be considered and changes made accordingly.	March 2019	AMBER	
	Further develop performance report information into a delivery plan framework to	To be taken forward by the Strategy and Performance Team, aligned with the review	Revised July 2019	AMBER	Will form part of revised performance monitoring reporting

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	ensure IJB fulfils its remit in delivering the direction of travel within the Strategic Commissioning Plan.	of the Strategic and Commissioning Plan.			into 2019/20 following approval of revised Strategic and Commissioning Plan.

