



REPORT TO: PERFORMANCE AND AUDIT COMMITTEE –26 MAY 2021
REPORT ON: GOVERNANCE ACTION PLAN PROGRESS REPORT
REPORT BY: CHIEF FINANCE OFFICER
REPORT NO: PAC17-2021

1.0 PURPOSE OF REPORT

1.1 The purpose of this report is to provide the Performance and Audit Committee with an update on the progress of the actions set out in the Governance Action Plan.

2.0 RECOMMENDATIONS

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

2.1 Notes the content of the report and the progress made in relation to the actions set out in the Governance Action Plan as outlined in Appendix 1.

3.0 FINANCIAL IMPLICATIONS

3.1 None.

4.0 MAIN TEXT

4.1 The Governance Action Plan was presented and approved at the PAC meeting of the 25th March 2019 (Article VIII of the minute of the meeting refers) in response to a recommendation within Dundee Integration Joint Board's Annual Internal Audit Report 2017/18. This action plan enables the PAC to regularly monitor progress in implementing actions and understand the consequences of any non-achievement or slippage in strengthening its overall governance arrangements. The PAC remitted the Chief Finance Officer to present an update progress report to each PAC meeting. The progress of the actions considered previously in the Governance Action Plan update, and not yet completed are noted in Appendix 1. Work is progressing to clear these outstanding actions.

4.2 The relevant Strategic Risk Register headings have been added to each action to ensure that these are reflected in the risk register.

5.0 POLICY IMPLICATIONS

5.1 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

6.1 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

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

8.0 BACKGROUND PAPERS

8.1 None.

Dave Berry
Chief Finance Officer

DATE: 30 April 2021

Strategic Risk Register Headings	Report	Report number	Recommendation	Agreed Action	Original Action By	Red: Not Started, Amber: In Progress, Green: Complete	Remedial Action/Comments	Revised Target Completion Date
Governance	Dundee Integration Joint Board Clinical, Care and Professional Governance Internal Audit Review	PAC9-2018	In addition to the 6 domains of clinical and care governance across delegated services, this review of remits needs to consider: Hosted Services, Information Governance, Care Commission reports, Risk	Clarify and agree datasets and information to be presented at each group and associated timescales to ensure coordination of governance process.	Lead Allied Health Professional/ Head of service Health & Community Care	AMBER	Hosted services are currently being considered through the Getting it right for everyone Group. All other aspects are complete	Dec-2019, Dec-2020, Sept' 2021
Workforce	2017/18 Annual Internal Audit Report – Action Plan Update	PAC7-2019	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.		AMBER	Updated Workforce and Organisational Development Plans, compatible with the revised Strategic and Commissioning Plan due to be presented to the IJB in February 2020.	Mar-22
Financial	2017/18 Annual Internal Audit Report – Action Plan Update	PAC7-2019	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 or determining and monitoring the Large Hospital Set Aside to inform commissioning decisions as set out within the legislation.		AMBER	Value of Large Hospital Set Aside agreed for inclusion in 2020/21 budget including recognition of improvements made by Dundee HSCP in reducing emergency bed days resulting in the release of £1m of funding from NHS Tayside to Dundee IJB's delegated budget. Further work required to ensure robust commissioning arrangements in place for future budgets.	Mar-21 Mar 22

Resilience	2017/18 Annual Internal Audit Report – Action Plan Update	PAC7-2019	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.		AMBER	Discussions ongoing with neighbouring IJB's re responsibilities around hosting arrangements. This is now included as part of the Revision of the Tayside Integration Schemes	Mar 21 Mar 22
Governance	2017/18 Annual Internal Audit Report – Action Plan Update	PAC7-2019	Further develop the Integration Joint Board's local Code of Governance.	To be developed as suggested.		AMBER	Clerk to the Board developing arrangements in conjunction with Chief Finance Officer. Actions postponed as a result of pandemic working restrictions	Dec 20 Mar 22
Resilience	2017/18 Annual Internal Audit Report – Action Plan Update	PAC7-2019	Further develop performance report information into a delivery plan framework to ensure IJB fulfils its remit in delivering the direction of travel within the Strategic Commissioning Plan.	To be taken forward by the Strategy and Performance Team, aligned with the review of the Strategic and Commissioning Plan.		AMBER	Will form part of revised performance monitoring reporting into 2019/20 following approval of revised Strategic and Commissioning Plan. Work has started on performance against 4 high level indicators in plan. Needs further development in line with any revisions to the SPG structure. Awaiting outcome of Internal Audit Review of Performance Management due to be reported to September PAC	Mar 21 Dec 21
Financial	Audit Scotland Annual Audit Report 2018/19	PAC 34-2019	A long-term financial strategy (5 years or more) supported by clear and detailed financial plans (3 years or more) should be prepared.	Build on the three-year financial framework developed during 18/19, which sets out the estimated resources and anticipated increase in expenditure from rising demand and costs of providing services. Continue to work with partner bodies to align longer term financial	Chief Finance Officer	AMBER	Work continues to develop the longer-term financial framework as part of the budget setting process.	Carried forward to action 1 in PAC 36-2020 Audit Sc Annual report and IJB Annual Accounts 2019/20

				planning processes and the development of long- term financial strategy on how to close the gap between funding and service provision.				
Governance	Audit Scotland Annual Audit Report 2018/19	PAC 34-2019	The IJB should liaise with NHS Tayside and consider the arrangements for regular attendance by a member appointed as the registered medical practitioner providing primary care.	NHS Tayside Board is responsible for appointing the role of registered medical practitioner providing primary care to the IJB. This issue has been noted by the IJB and the Clerk to the Board will formally write to the Chair of NHS Tayside Board on this issue.	Clerk to the Board	AMBER	Clerk has written to NHS Tayside and awaits a formal response. 23-01-20 NHS have not confirmed a replacement for Registered Medical Practitioner as yet. (NHS have also to confirm replacement for one voting member on Dundee IJB.	Carried forward to action 4 in PAC 36-2020 Audit Sc Annual report and IJB Annual Accounts 2019/20
Financial	Audit Scotland Annual Audit Report 2018/19	PAC 34-2019	The IJB should liaise with its partner organisations to ensure an agreed budget is approved prior to the start of the year.	An indicative NHS Budget was provided at the IJB budget meeting of 30th March 2019. The final budget from NHS Tayside was consistent with the indicative budget. Continue to work with partner bodies to align budget setting processes as far as practicable.	Chief Finance Officer	AMBER	Continues to be discussed at budget meetings with the parties. Timescale impacted by Covid-19 response for 2020/21 budget. NHS Tayside did not consider the 2021/22 Financial Plan until April 2021.	Mar 21 Mar 22
Governance	Audit Scotland Annual Audit Report 2018/19	PAC 34-2019	The IJB should seek to combine financial and performance reporting to ensure that members have clear sight of the impact of variances against budget in terms of service performance.	Continue to explore options on how to combine financial and performance reporting in a format which provide useful information to users.	Chief Finance Officer	AMBER	Progressing slower than as planned as a result of Covid-19 required changes to working arrangements /pressures Awaiting outcome of Internal Audit Review of Performance Management due to be reported to September PAC	Mar 21 Dec 21

Financial	Audit Scotland Annual Audit Report 2018/19	PAC 34-2019	The IJB should review its reserves to ensure they are adequate	Reserves can only be accumulated through year end surpluses of funding. Ensure robust budgeting, monitoring of identified savings and financial monitoring processes in place to identify opportunities to enhance reserves position.	Chief Finance Officer	AMBER	Levels of uncommitted reserves are anticipated to reduce in response to the anticipated overspend. Reserves have been reviewed and are inadequate in terms of the Reserves Policy. IJB unlikely to be in a position of increasing reserves given current budget pressures. To be reviewed once draft accounts submitted.	Mar-21 June 21
Resilience	2019/20	MSG	Implementation of and reporting on all outstanding recommendations arising from the Ministerial Steering Group report on Health & social care Integration		Chief officer/	AMBER	Ongoing piece of work to take into account the Independent Review of Adult Social Care (Feeley Report)	Mar-21 Mar 22
Governance	2019/20		Further development of governance arrangements considering agreed governance principles and updated advice from the Scottish Government Health & Social care Division		Chief officer/	AMBER	Ongoing piece of work to take into account the Independent Review of Adult Social Care (Feeley Report) and revision of Integration Schemes	Dec-20 Mar 22
Governance	Internal Audit Review – Information Governance (IG) & Technology as Enablers	PAC 24-2020	Clear escalation routes should be agreed between DIJB and its partners for Information Governance and e-Health (IT)	Establish a governance route	NHS Tayside Head of Information Governance and Cyber Assurance/Data Protection Officer	GREEN	NHS E-Health and DCC IT now part of HSCP IT Board	Mar-21

Governance	Internal Audit Review – Information Governance (IG) & Technology as Enablers	PAC 24-2020	IT services within the Council and NHS Tayside, along with representatives from DH&SCP, should meet regularly when key IT development decisions are being taken and any IT problems that arise due to the unique circumstances of the DH&SCP can be discussed and resolved timeously.	Strategic discussions will be held between all partners in conjunction with Scottish Government to help facilitate an operational solution through the provision of available funding / resources.	Executive Director of Corporate Services DCC, Director of Digital Technology NHST, Chief Finance Officer, DIJB	GREEN	HS E-Health and DCC IT now part of HSCP IT Board	Mar-21
Governance	Internal Audit Review – Information Governance (IG) & Technology as Enablers	PAC 24-2020	Future meetings of the group considering IT developments should also include discussion on an IT helpdesk agreement for DH&SCP staff as well as agreement on the processes for sharing information on DH&SCP staff active directory users. It may be useful to establish a Tayside wide forum for this.	A Bi-Annual Meeting to be arranged.	NHST E-Health Service Delivery Manager	GREEN	HS E-Health and DCC IT now part of HSCP IT Board	
Financial	Audit Scotland Annual Report And IJB Annual Accounts 2019/20	PAC 36-2020	The 1-5-year financial plan should be progressed and presented to the Board to help demonstrate the longer term financial sustainability of planned IJB services. This is increasingly important as demand pressures increase and the IJB plans for service redesign over medium and longer time frames. Plans should include scenario planning in the Covid-19 environment.	The development of a meaningful medium to longer term financial plan has been impacted on by significant uncertainty around funding with delays in UK and Scottish Government finance settlements for both 2020/21 and 2021/22 and the impact of Covid19 in 2020/21 disrupting the planning process. A medium to long term financial plan will be developed and presented to the IJB as part of a suite of budget development reports for 2021/22 onwards.	Chief Finance Officer	GREEN	<i>5 year financial strategy presented and approved by the IJB at it's meeting in March 2021</i>	Mar 21

Financial	Audit Scotland Annual Report And IJB Annual Accounts 2019/20	PAC 36-2020	The position on the achievement of savings proposals and transformation should be clearly and regularly reported to members. The impact from Covid-19 and delivering pandemic remobilisation plans will also need to be considered.	The IJB is provided with an overview of the risks of delivery associated with the savings programme as part of regular financial monitoring reports presented to the IJB. This will be enhanced during the year with a minimum of two specific savings and transformation reports outlining the progress made with implementation of service change initiatives.	Chief Finance Officer	AMBER	<i>To be further developed over 2021/22</i>	Mar 22
Resilience	Audit Scotland Annual Report And IJB Annual Accounts 2019/20	PAC 36-2020	Work to embed a programme of development and training opportunities for Board members should be progressed. Paragraph 77	A programme of coordinated work which brings together the individual pieces of development and training opportunities already in existence and under new development opportunities under one framework will be produced with the respective statutory partners.	Chief Officer	AMBER	<i>To be further developed over 2021/22</i>	Mar 22
Governance	Audit Scotland Annual Report And IJB Annual Accounts 2019/20	PAC 36-2020	The IJB should escalate to NHS Tayside again, that the IJB has not had professional input from a 'registered medical practitioner whose name is included in the list of primary medical services performers' for a number of years and request NHS Tayside appoint to this non-voting role. Paragraph 79	Both the Clerk to the IJB and the Chair of the IJB have written to NHS Tayside to request a nomination to this role. The IJB will continue to make this request however it is the role of NHS Tayside to provide an appropriate nomination.	Chief Finance Officer/Clerk to the Board	AMBER		tbc
Resilience	Audit Scotland Annual Report And IJB Annual Accounts 2019/20	PAC 36-2020	The Board and PAC are updated on progress in delivering against the risk maturity action plan.	As reported in the Governance Action Plan, progress is now being made with full implementation of the recommendations to be achieved by March 2021.	Chief Finance Officer	AMBER	<i>The Tayside IJB's Risk Management Strategy was approved by Dundee IJB at its meeting in April 2021. Further development work will follow from this.</i>	Mar 22

Financial	Internal Audit report - Transformation Programme	PAC20-2019	To improve existing review and monitoring arrangements surrounding progress towards delivery and realisation of the DHSCP's Transformation Programmes an overarching record comprising, the following should be introduced : List of each transformation project contained within each Programme. · Lead Officer details for each Programme and its projects. · Desired outcomes. · Progress to date towards implementation. · Estimated savings where applicable.	The existing documentation supporting the Transformation Programme will be enhanced to ensure the areas suggested in the audit recommendation are included along with appropriate implementation status indicators. Performance monitoring will be supported through the use of the Pentana performance monitoring system. This will enable project leads and other stakeholders to track progress of implementation.	Chief Finance Officer / Head of Health and Community Care Services	AMBER	<i>Now being considered by the Strategic Planning Advisory Group</i>	Aug-21
Governance	Internal Audit report - Transformation Programme	PAC20-2019	In order to enhance existing governance arrangements, fulfil the Terms of Reference of the TDG and assist with prioritising resources, regular summary reports on the progress of the Transformation Programme should be prepared by the TDG and submitted to the Performance and Audit Committee for its review. The Terms of Reference of the PAC should be updated to reflect the requirement for the TDG to report to it.	Review of governance meetings and interrelationships has been initiated to ensure the most effective governance routes for policy and decision making. This will provide more clarity on responsibilities and is likely to result in a rationalisation of meeting structures with the strong possibility that the Transformation Delivery Group will not be required in future.	Dundee Health and Social Care Partnership Management Team	AMBER	<i>Now being considered by the Strategic Planning Advisory Group</i>	Aug-21

Workforce	Dundee Integration Joint Board Workforce Internal Audit Review	PAC8-2018	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. In addition, Locality Managers should strive towards ensuring that the DH&SCP culture becomes fully embedded. Engaging staff in developing and maintaining the partnership culture as well as sharing and embedding the guiding principles should assist with this.	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. 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.	Lead Allied Health Professional/ Head of service Health & Community Care / Chief Finance Officer	RED	Review of Workforce and Organisational development strategy as companion document to the review of Strategic Plan.	Mar-22
Resilience	Action Plan in Response to the Services for Older People (Edinburgh) Inspection Report	PAC 29-2018	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.	RED	Review actions to determine if these are still valid	Mar-21 Sept 21
Resilience	2017/18 Annual Internal Audit Report – Action Plan Update	PAC7-2019	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.			To be included as part of Revision of Tayside IJB's Integration Schemes	Mar 22

Governance	Internal Audit Review – Governance Mapping	PAC28-2020	The DHSCP management team should review attendance at groups based on agreed principles. Attendance at partner groups should be based on a consideration of whether this is necessary to provide assurance to allow the partner body to fulfil their agreed responsibilities in line with their accountabilities	The evolving complexity of integrated arrangements are such that the capacity of the management team of the Health and Social Care Partnership in its widest sense is insufficient to all the demands placed on it through partner groups. the development of a range of principles as recommended will provide a better structured approach	Chief Officer, Dundee HSCP	RED	<i>Review ongoing in line with increased capacity of senior management team</i>	Mar 22
Governance	Internal Audit Review – Governance Mapping	PAC28-2020	A best practice guidance document is developed to ensure the operation of all groups conforms to the various principles detailed in the report.	A best practice guidance document would be beneficial and will be developed	Head of Finance & Strategic Planning,	RED	<i>Review ongoing in line with increased capacity of senior management team</i>	Mar 22
Governance	Internal Audit Review – Governance Mapping	PAC28-2020	A review should be undertaken to update the strategic risk in relation to Increased Bureaucracy.	The risk and associated controls will be reviewed as recommended	Head of Finance and Strategic Planning,	RED	<i>Review ongoing in line with increased capacity of senior management team</i>	Mar 22

Workforce	Dundee Integration Joint Board Workforce Internal Audit Review	PAC8-2018	<p>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. Regular reports on the support service requirements should be provided to the IJB. 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>The DHSCP 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 accordingly. The service will progress a more formal statement of the expected level of support which can subsequently be monitored and report to the IJB. While acknowledging that further national guidance is awaited on this matter, the first integrated workforce plan will be developed over the next 6 months.</p>		RED	To be included as part of Revision of Tayside IJB's Integration Schemes	Mar 22
-----------	--	-----------	---	--	--	-----	---	--------