



**REPORT TO: PERFORMANCE AND AUDIT COMMITTEE – 28 MAY 2019**  
**REPORT ON: GOVERNANCE ACTION PLAN PROGRESS REPORT**  
**REPORT BY: CHIEF FINANCE OFFICER**  
**REPORT NO: PAC19-2019**

**1.0 PURPOSE OF REPORT**

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 progress made in relation to the actions set out in the Governance Action Plan as outlined in Appendix 1.

**3.0 FINANCIAL IMPLICATIONS**

None.

**4.0 MAIN TEXT**

- 4.1 The Governance Action Plan was presented and approved at the PAC meeting of the 25<sup>th</sup> 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 understands 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 is noted in Appendix 1.

**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: 23 May 2019

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| Dundee Integration Joint Board Clinical, Care and Professional Governance Internal Audit Review<br><br><i>(PAC9-2018)</i><br><i>13<sup>th</sup> February 2018</i> | A review should be undertaken to establish or update the remits of the PAC, R2 and Forum in relation to clinical and care governance.<br><br>The remits should set out reporting lines and be translated into annual work plans for each group.<br><br>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.<br><br>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)<br><br>Clinical Director (R2)<br><br>Chief Finance Officer (PAC)<br><br>Associate Nurse Director - Mental Health and Learning Disabilities<br><br>31 March 2018 | <b>RED</b>  | <i>Review commenced on initial paper setting out reporting decision making arrangements presented to the DHSCP Management meeting. Review of Terms of Reference to be updated to reflect agreement</i> | <i>September 2019</i>          |
|   | 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   | 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<br><br>31 March 2018   | <b>GREEN</b>  |  | N/A                            |

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|  | information to provide context and allow triangulation.   |   |   |  |   |                                |
| Dundee Integration Joint Board Clinical, Care and Professional Governance Internal Audit Review<br><br>(PAC9-2018)<br>13 <sup>th</sup> February 2018 | In addition to the 6 domains of clinical and care governance across delegated services, this review of remits needs to give consideration to:<br>- Hosted services<br>- Information Governance<br>- Care Commission reports<br>- 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 and Community Care<br><br>30 June 2018  | <b>AMBER</b>   | <i>Review of the decision making group has included confirmation of the information to be presented to the R2 CCPG Group. A draft reporting template is being prepared for submission to the CCP Forum. Discussions to continue around hosting arrangements</i> | September 2019                 |
|  | 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.<br><br>Chief Officer of DIJB to clarify reporting arrangements between R1 and IJB. | Chief Officer Lead Allied Health Professional / Head of Service, Health and Community Care<br><br>31 July 2018 (To allow time for R1 meetings to run) | <b>AMBER</b>   | <i>Working group established at Tayside level which will support and clarify reporting arrangements.</i>  | September 2019                 |

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|  |  | Regular representation at the R1 and CQF will be provided from the R2 Group.  |   |   |  |                                |
| Dundee Integration Joint Board Clinical, Care and Professional Governance Internal Audit Review<br><br>(PAC9-2018)<br>13 <sup>th</sup> February 2018 | Work undertaken to map out the assurance routes for the key domains should be further augmented by a mapping to the functions set out in the Appendix to the Integration Scheme, setting out all delegated functions, with priority given to the areas of highest importance/risk. | Integration scheme delegated functions will be mapped to ensure forum membership reflects the breadth of delegated functions.<br><br>Service reports and performance data will reflect the breadth of the delegated functions ensuring that reports to the IJB also reflect the breadth of the delegated functions. | Lead Allied Health Professional / Head of Service, Health and Community Care<br><br>30 April 2018 | AMBER   | Programme reporting covering all services will all be completed by June 2019.<br><br>Schedule of services confirmed and membership extended to ensure all areas are considered by the R2 group | June 2019                      |
|  | Work should be undertaken on establishing a consistent assurance appetite to ensure that the level of assurance received is consistent across all clinical and care governance domains   | Review work of R2 and Forum reporting arrangements and risk management against governance principles (Appendix A) and amend and adopt new approaches as required.   | Lead Allied Health Professional / Head of Service, Health and Community Care<br><br>30 June 2018  | GREEN<br><br>AMBER  | Review work completed – considered and reflected within review of terms of reference.<br><br>Work continues to progress the reporting  | September 2019                 |

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|  | <p>across all services commensurate with the level of risk each represents (e.g. an understanding of falls might be equally appropriate in both hospital and community care settings).</p> <p>Agreed levels of reporting should be reviewed against the governance principles appended to this report.</p> | <p>Further work will be done with the reporting templates to refine areas of common risk across the HSCP to support identification and mitigation of identified risks.</p>   |  |  | <p>arrangements but not yet complete – revised timescale of end of September 2019</p>   |                                |
| <p>Dundee Integration Joint Board Workforce Internal Audit Review<br/><i>(PAC8-2018)</i><br/><i>27<sup>th</sup> March 2018</i></p> | <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</p>                    | <p>The DH&amp;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</p> | <p>Head of Health and Community Care / Head of Finance and Strategic Planning</p> <p>August 2018</p> | <p><b>RED</b></p>  | <p><i>Review of Workforce and Organisational development strategy as companion document to the review of Strategic Plan. Updated strategy to be presented to the August IJB meeting therefore actions will be taking forward from then.</i></p> | <p><i>December 2019</i></p>    |

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|   | DH&SCP culture becomes fully embedded.<br><br>Engaging staff in developing and maintaining the partnership culture as well as sharing and embedding the guiding principles should assist with this.  | continued development.<br><br>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.   |   |  |  |                                |
| Dundee Integration Joint Board Workforce Internal Audit Review<br><br><i>(PAC8-2018)</i><br><i>27<sup>th</sup> March 2018</i> | 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.<br><br>The service provided should be regularly reviewed along with the SLA to ensure that the defined support is being | 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.<br><br>Given the current stage in the partnership's development, with | Head of Finance and Strategic Planning<br><br>August 2018 | <b>RED</b>   | Current level of resources have not enabled progress to be made.<br><br>Proposals for enhanced IJB support functions being developed within the H&SCP to assist taking this and other governance issues forward. | <i>December 2019</i>           |

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|  | <p>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&amp;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>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>Dundee Integration Joint Board Workforce Internal Audit Review</p> <p><i>(PAC8-2018)</i><br/> <i>27<sup>th</sup> March 2018</i></p> | <p>Future workforce plans for DH&amp;SCP should include plans for all areas of delegated responsibility, tailored to deliver the relevant elements of the Strategic Plan.</p>  | <p>As DH&amp;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</p>   | <p>Head of Health and Community Care / Head of Finance and Strategic Planning</p> <p>August 2018</p> | <p><b>RED</b></p>  | <p><i>Updated Workforce and Organisational Development Plans will be presented to the IJB in August 2019</i></p> | <p><i>August 2019</i></p>      |



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|   | Plans should take account of demand for and availability of staff to maximise the use of resources within the DH&SCP.                                | the IJB's strategic objectives is becoming clearer and will be reflected in future integrated workforce plans.<br><br>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<br><br><i>(PAC 29-2018)</i><br>29 <sup>th</sup> 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. | <b>RED</b>   | <i>Report will now be presented to the July 2019 PAC meeting</i>  | <i>July 2019</i>               |
| Risk Management Action Plan<br><br><i>(PAC8-2019)</i><br>12 <sup>th</sup> February 2019   | Action Plan was required to respond to the findings of the Risk Maturity Assessment presented to the PAC on the 25 <sup>th</sup> 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   | Chief Finance Officer<br><br>September 2019                                   | <b>AMBER</b>   | <i>Discussions held between risk management functions of Dundee City Council and NHS Tayside to agree way forward for actions</i> | September 2019                 |

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|   |   | September 2019 PAC meeting as agreed.   |                                   |  |  |                                |
| Transformation and Service Redesign Internal Audit Report (PAC9-2019)<br>12 <sup>th</sup> 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 <sup>th</sup> May 2019.                             | Chief Finance Officer<br>May 2019 | <b>GREEN</b>   | Action Plan presented on agenda for meeting on 29 <sup>th</sup> May 2019                           | n/a                            |
| 2017/18 Annual Internal Audit Report – Action Plan Update (PAC7-2019)<br>12 <sup>th</sup> 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             | <b>RED</b>   | Discussion to be held between Chief Executives   | July 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.<br><br>Consider frequency and content of update report of activities of | Revised April 2019                | <b>RED</b>   | Updated Workforce and Organisational Development Plans will be presented to the IJB in August 2019 | August 2019                    |

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|  |   | Staff Partnership Forum.  |                         |  |  |                                |
| <i>The following reflects the detail of this action plan</i> | 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      | <b>GREEN</b>   | Taken into account as part of review of terms of reference.  | n/a                            |
|  | Consideration should be given to arrangements required by the IJB to comply with Freedom of Information and Public Records legislation.   | Review current arrangements in place across the IJB/NHS Tayside and Dundee City Council to determine if they are effective in meeting the IJB's statutory requirements. | Revised April 2019      | <b>RED</b>   | <i>Self-assessment of arrangements in place deemed to be satisfactory. Further discussion to be arranged with statutory partners to ensure all parties satisfied that requirements being met</i> | <i>August 2019</i>             |
|  | 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   | Revised - March 2019    | <b>RED</b>   | <i>Value of Large Hospital Set Aside agreed for inclusion in 2018/19 Annual Accounts. Given the need for agreement across Tayside between 3 IJB's and NHS Tayside,</i>                           | <i>December 2019</i>           |

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|  |   | monitoring the Large Hospital Set Aside to inform commissioning decisions as set out within the legislation.   |                         |  | <i>timescale revised accordingly</i>  |                                |
| <i>The following reflects the detail of this action plan</i> | 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      | <b>GREEN</b>   | <i>IJB and PAC minutes now reflect range of actions.</i>  | <i>n/a</i>                     |
|  | 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       | <b>RED</b>   | <i>Discussions ongoing with neighbouring IJB's re responsibilities around hosting arrangements.</i> | <i>December 2019</i>           |
|  | Development of an overall Governance Action Plan to progress previous   | To be developed as suggested.  | Revised March 2019      | <b>GREEN</b>   | <i>n/a</i>  | <i>n/a</i>                     |

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|  | recommended areas for improvement.  |   |                         |  |  |                                |
| <i>The following reflects the detail of this action plan</i> | Development of regular IJB and PAC member induction and development process.                            | To be developed as suggested.   | Revised June 2019       | <b>RED</b>   | <i>To be included as part of Workforce and OD strategy to be presented to the IJB in August 2019</i>   | <i>August 2019</i>             |
|  | Further develop the Integration Joint Board's local Code of Governance.                                 | To be developed as suggested.   | Revised April 2019      | <b>RED</b>   | <i>Clerk to the Board developing arrangements in conjunction with Chief Finance Officer.</i>   | <i>August 2019</i>             |
|  | Present the governance principles adopted by the Health and Social Care Partnership.                    | To be presented to the February 2019 IJB meeting.   | Revised April 2019      | <b>GREEN</b>   | <i>Report DIJB17-2019 presented to the April IJB noting progress being made and requesting that Dundee City Council and NHS Tayside agree the principles as they apply to Dundee Integration Joint Board. Report to come back to IJB once agreed by both parties</i> | <i>n/a</i>                     |
|  | 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 | March 2019              | <b>GREEN</b>   | <i>Incorporated within the review of the Strategic and Commissioning Plan. Will also be reflected in the IJB's final</i>   |                                |

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|  |  | be incorporated into the revised Strategic and Commissioning Plan.   |                         |   | <i>budget setting report to be presented to the June 2019 IJB meeting following receipt of confirmation of delegated budget from NHS Tayside.</i>                                   |                                |
| <i>The following reflects the detail of this action plan</i> | 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       | <b>AMBER</b>  | 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      | <b>GREEN</b>  | <i>Report 16-2019 presented to the April IJB meeting</i>  | n/a                            |
|  | 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            | <b>GREEN</b>  |   | n/a                            |

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|  | 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 ( <i>should have been September 2019 in line with Risk Management Action Plan</i> ) | <b>AMBER</b>  | <i>Discussions held between risk management functions of Dundee City Council and NHS Tayside to agree way forward for actions as set out in Risk Management Action Plan</i> | <i>September 2019</i>          |
|  | 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.                   | Revised July 2019  | <b>AMBER</b>  | Will form part of revised performance monitoring reporting into 2019/20 following approval of revised Strategic and Commissioning Plan.                                     |                                |

