



REPORT TO: PERFORMANCE & AUDIT COMMITTEE – 12 SEPTEMBER 2017
REPORT ON: ANNUAL INTERNAL AUDIT REPORT 2016/17 - ACTION PLAN
REPORT BY: CHIEF FINANCE OFFICER
REPORT NO: PAC24-2017

1.0 PURPOSE OF REPORT

The purpose of this report is to consider a proposed action plan to respond to the recommendations of the Annual Internal Audit Report 2016/17.

2.0 RECOMMENDATIONS

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

- 2.1 Notes and approves the proposed action plan as outlined in Appendix 1.
- 2.2 Remits the Chief Finance Officer to provide a progress report to the PAC prior to 31 March 2018.

3.0 FINANCIAL IMPLICATIONS

None.

4.0 MAIN TEXT

- 4.1 Dundee Integration Joint Board's (IJB) Annual Internal Audit Report was presented to the IJB at its meeting on 27 June 2017. 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 2016/17 had established no major issues and that the IJB had adequate and effective internal controls in place proportionate to its responsibilities in 2016/17. The report noted a number of areas of planned improvements for 2016/17 alongside a range of recommended further issues for consideration by management. The Internal Audit report recommended the development of an action plan to ensure these and other developing governance issues are managed effectively. This action plan is shown in Appendix 1. The Chief Internal Auditor will provide an assessment of the adequacy of these as part of their 2017/18 Annual Audit Report.

5.0 POLICY IMPLICATIONS

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

6.0 RISK ASSESSMENT

This report has not been subject to a risk assessment as it a status update and does not require any policy or financial decisions at this time.

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: 21 August 2017

Annual report actions	Proposed management action	Responsible Officer	Timescales	To be reported to
Update of the IJB's Participation and Engagement Strategy to be presented to the IJB.	Prepare update report for IJB following consideration at Dundee Integrated Strategic Planning Group.	Chief Officer	Prior to March 2018	IJB
Further work required across Tayside and Dundee to update the Memorandum of Understanding for Hosted Services.	Draft revised Memorandum of Understanding developed. Further discussions to take place between three Tayside Chief Officers and three Chief Finance Officers to agree position	Chief Officer/Chief Finance Officer	December 2017	IJB
All key principles with regards to governance arrangements need to be agreed with associated formal written agreement setting out the precise responsibilities of the IJB, Tayside NHS Board and the Council in relation to operational activities and the exact nature of the delegation of functions to IJBs.	Tayside wide issue being taken forward between the three Tayside IJBs, NHS Tayside and local authorities.	Chief Officer	December 2017	IJB
Approach to Risk Management should be enhanced through expanding risk register to include assurances in place against controls for each risk, timescales and action and a review of risk management arrangements including the Risk Management Strategy.	Review of Risk Management Strategy/risk register to be undertaken as recommended and presented to the IJB.	Chief Finance Officer	December 2017	PAC first – then IJB
Clarification of deputising arrangements for the Chief Officer to be presented to the IJB.	Agreement to be reached between Chief Officer and Chief Executives of both Dundee City Council and NHS Tayside.	Chief Officer	October 2017	IJB

Annual report actions	Proposed management action	Responsible Officer	Timescales	To be reported to
Consideration should be given to provide an action points update on decisions taken at previous meetings to be a standing item for IJB and Performance and Audit Committee.	Agreed to implement this arrangement for future IJB and PAC meetings.	Chair/Vice Chair/Clerk to the Board	With effect from next meetings of IJB and PAC (October and November 2017 respectively)	IJB/PAC
A Scheme of Further Delegation needs to be documented for IJB services directed to NHS Tayside and Dundee City Council.	Assess similar schemes in place across Tayside and other IJBs and develop Dundee specific version.	Chief Finance Officer/Clerk to the Board	December 2017	IJB
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.	Take forward with Corporate Human Resources/Organisational Development support from Dundee City Council and NHS Tayside. Assess existing mechanisms in place for both organisations and adapt as required for Dundee IJB.	Chief Officer/Chief Finance Officer	March 2018	IJB
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.	Issue to be taken in to Clinical, Care and Professional Governance "R2" forum for further consideration	Head of Community Care and Health	December 2017	IJB
Consideration should be given to arrangements required by the IJB to comply with Freedom of Information and Public Records legislation.	Review of sufficiency of existing arrangements to be undertaken.	Chief Finance Officer/Clerk to the Board	December 2017	IJB