



REPORT TO: PERFORMANCE AND AUDIT COMMITTEE – 2 FEBRUARY 2022
REPORT ON: GOVERNANCE ACTION PLAN PROGRESS REPORT
REPORT BY: CHIEF FINANCE OFFICER
REPORT NO: PAC4-2022

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 Appendices 1 and 2.

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.

4.2 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. The completed actions previously reported to the Performance and Audit Committee have been removed from Appendix 1.

4.3 Internal audit report PAC 5-2021 highlighted that an action plan arising from the Transformation & Service Redesign internal audit report (PAC20-2019) had not been fully reflected in the governance action plan. Appendix 2 shows each of the actions included in PAC20-2019 and how these are being monitored or how they have been concluded.

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.








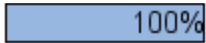
Dave Berry
Chief Finance Officer




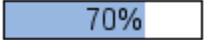

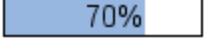

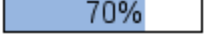

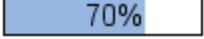
DATE: 5 January 2022

PAC - HSCP Governance Action Report

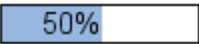
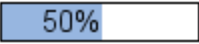
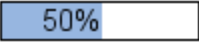

APPENDIX 1

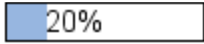
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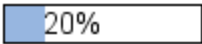






	Action Code & Title	Progress Bar	Due Date	Original Due Date	Ownership Assigned To	Latest Update
	PAC30-2021-3 The PAC and IJB as necessary, should continue to be updated on implementation progress across all governance and improvement areas		31-Mar-2022	31-Mar-2022	Dave Berry	Actions being complied with as reported by external audit
	PAC30-2021-5 Establish review period for Best Value assessment		31-Mar-2022	31-Mar-2022	Dave Berry	The review will be annual and form part of the final accounts process. This will be included in the 2021/22 Best Value review report to the PAC
	PAC5-2021 - 2 Actions arising from the Transformation & Service Redesign internal audit report (2019) should continue to be monitored by being added to the Governance Action plan		31-Mar-2022	31-Mar-2022	Dave Berry	28-5-2019 minute of PAC – reference to the minute of PAC on 12th February, 2019. Report No PAC20-2019 considering an action plan to progress recommendations from the Internal Audit Review of the IJB Transformation and Service Redesign Programme. All actions from this plan have now been completed or added to the Governance Action Plan. Proposed Appendix to Feb 2022 Governance Action Plan Report to PAC to demonstrate
	PAC7-2019-5 Further develop the Integration Joint Board's local Code of		30-Sep-2021	30-Sep-2021	Dave Berry	Following discussion with External & Internal Auditors, it was agreed that the IJB did not

Action Code & Title	Progress Bar	Due Date	Original Due Date	Ownership Assigned To	Latest Update
Governance.					require one specific document to comply with "The Delivering good governance in Local Government Framework 2016 Edition" A single document is not a departure from the Framework. What's key is being be able to demonstrate that the IJBs governance structures comply with the core and sub-principles contained. This is considered as part of the annual accounts process.
 PAC7-2019-1 Clarification of deputising arrangements for the Chief Officer to be presented to the IJB.		31-Mar-2022	31-Mar-2022	Dave Berry	Being considered as part of revision of integration scheme
 PAC 34-2019-3 Agree budget with partner organisations to ensure approval prior to the start of the year.		31-Mar-2022	31-Mar-2022	Dave Berry	Proposals on budget agreement are included within the updated draft integration scheme
 PAC 34-2019-4 Combine financial and performance reporting to ensure that members have clear sight of the impact of variances against budget in terms of service performance.		31-Dec-2021	31-Dec-2021	Kathryn Sharp	Revised quarterly performance report and reporting framework was approved by the PAC in November 2021. Further work to develop links to financial information to be developed as part of revision of strategic and commissioning plan.
 PAC8-2018-2 Develop a formal Service Level Agreement (SLA) detailing all key corporate support services to be provided to the DH&SCP by DCC and NHST		31-Mar-2022	31-Mar-2022	Dave Berry; Kathryn Sharp	The key corporate support service arrangements will be reviewed and included in the integration scheme as part of its current review
 PAC9-2018-1 Clinical and care governance across delegated services review of remits		30-Sep-2021	30-Sep-2021	Matthew Kendall	The GIRFE Group continue to review the processes and structures for Hosted Services. A sample of Hosted services governance





Action Code & Title	Progress Bar	Due Date	Original Due Date	Ownership Assigned To	Latest Update
					reports have been shared across HSCP's for comment and this will be reviewed through the GIRFE Group. Presenting exceptions are escalated through professional lines where required.
▶ PAC7-2019-4 Development of improved Hosted Services arrangements around risk and performance management for hosted services.		31-Mar-2022	31-Mar-2022	Dave Berry; Kathryn Sharp	Initial agreement has been reached regarding principles of performance reporting for hosted services. Schedule of reporting is to be developed and implemented.
▶ PAC 36-2020-1 Status 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.		31-Mar-2022	31-Mar-2022	Dave Berry	Risk assessment of achievement of savings targets provided within financial monitoring reports to IJB
▶ PAC20-2019-1 The Transformation Programme should be recorded in an overarching document		31-Mar-2022	31-Aug-2021	Dave Berry	March 2022 - The transformation programme will be presented as part of the IJB's budget setting papers in March 2022 A revised completion date for this action is now March 2022
▶ PAC20-2019-2 Summary reports on the progress of the Transformation Programme should be prepared and submitted to the PAC for its review. The Terms of Reference of the PAC should be updated to reflect the requirement for the TDG to report to it.		31-Aug-2022	31-Aug-2021	Dave Berry	The Transformation Programme will be presented as part of the IJB's budget setting papers in March 2022 The Transformation Delivery Group (TDG) no longer exists

	Action Code & Title	Progress Bar	Due Date	Original Due Date	Ownership Assigned To	Latest Update
▶	PAC26-2021-2 Submit a further analysis of the reasons for the deterioration of performance against National Indicator 17 (care inspectorate gradings)		31-Mar-2022	31-Mar-2022	Kathryn Sharp	Analysis has been completed and report currently being drafted for submission in February 2022.
▶	PAC31-2021 - 1 Assurance and performance reports should be related to specific risks and contain a conclusion on whether the controls are operating effectively to mitigate the intended risks		30-Jun-2022	30-Jun-2022	Kathryn Sharp	PAC has agreed performance reporting approach which includes more direct link between risk and performance reporting.
▶	PAC7-2019-2 Provide the IJB with reporting on workforce issues		31-Mar-2022	31-Mar-2022	Dave Berry	A workforce plan is being developed for presentation to the IJB by Sept 2022 to meet a statutory deadline
▶	PAC7-2019-3 Development of Large Hospital Set Aside arrangements in conjunction with the Scottish Government, NHS Tayside and Angus and Perth and Kinross Integration Joint Boards.		31-Mar-2022	31-Mar-2022	Dave Berry	Further direction from SG around development of LHSA being considered by CFO's and NHS Director of Finance
▶	PAC 36-2020-3 The Board and PAC are updated on progress in delivering against the risk maturity action plan.		31-Mar-2022	31-Mar-2022	Clare Lewis-Robertson	Risk management strategy approved by IJB and Risk Management development session held
⚠	PAC7-2019-6 Further develop performance report information into a delivery plan framework		31-Dec-2021	31-Dec-2021	Kathryn Sharp	The development of a delivery plan will be progressed through the statutory review of the strategic and commissioning plan. This will address both short-term requirements as the pandemic conditions continue and approach to strategic and supporting delivery plans for the longer term.

Action Code & Title	Progress Bar	Due Date	Original Due Date	Ownership Assigned To	Latest Update
▶ PAC28-2020-1 The DHSCP management team should review attendance at groups based on agreed principles		31-Mar-2022	31-Mar-2022	Dave Berry	An initial review of group remits has streamlined attendance to avoid duplication of DHSCP Management team
▶ PAC 36-2020-2 A programme of development and training opportunities for Board members should be progressed.		31-Mar-2022	31-Mar-2022	Kathryn Sharp	Development sessions are provided to IJB members on specific topics, including development sessions associated with the budget setting process. Topics include those identified by officers as well as requested by IJB members. Induction materials for IJB members developed by other Partnerships are being considered. All voting members continue to benefit from development and training opportunities provided to them via NHS Tayside and Dundee City Council.
▶ PAC28-2020-2 A governance mapping best practice guidance document is developed to ensure the operation of all groups conforms to the various principles detailed in the report.		31-Mar-2022	31-Mar-2022	Dave Berry; Diane Mcculloch	Review ongoing in line with increased capacity of Senior management team
▶ PAC28-2020-3 A review should be undertaken to update the strategic risk in relation to Increased Bureaucracy.		31-Mar-2022	31-Mar-2022	Dave Berry; Diane Mcculloch	Review ongoing in line with increased capacity of Senior management team
▶ PAC30-2021 - 2 The IJBs five-year financial framework is to be updated to reflect the impact of the Covid-19 pandemic.		31-Mar-2022	31-Mar-2022	Dave Berry	An updated financial framework is due to be presented to the IJB in March 2022

Action Code & Title	Progress Bar	Due Date	Original Due Date	Ownership Assigned To	Latest Update
▶ PAC8-2018-1 Work to fully implement the actions in the Workforce and Organisational Development Strategy		31-Mar-2022	31-Mar-2022	Dave Berry; Diane Mcculloch	Review of Workforce and Organisational development strategy as companion document to the review of Strategic Plan.
▶ PAC26-2021-1 Submit a further in-depth analysis of readmissions data		31-Mar-2022	31-Mar-2022	Kathryn Sharp	Scoping of further analytical work to support further analysis and production of report has commenced.
▶ PAC26-2021-3 Submit an update report on improvement activity that has been undertaken to address the increased rate in hospital admissions due to a fall		31-Mar-2022	31-Mar-2022	Kathryn Sharp	Scoping of report content has commenced and meeting scheduled between relevant officers to progress.
▶ PAC20-2019-3 Terms of Reference documents should be developed / reviewed for all groups that impact on the transformation and service redesign arrangements of the DH&SCP, including the ISPG		31-Mar-2022	31-Mar-2022	Dave Berry	Dec 2021 - This action had been previously omitted from the governance action plan
▶ PAC29-2021-1 Develop a Psychological Therapies Strategic Plan including the introduction of a pan-Tayside Strategic Commissioning Group		30-Jun-2022	30-Jun-2022	Diane Mcculloch	
▶ PAC30-2021-1 Refine financial monitoring reports to the Board related to earmarked funding		30-Jun-2022	30-Jun-2022	Dave Berry	Future financial monitoring year-end reports will detail the relevant funding streams, associated expenditure and any surplus funding as recommended.
▶ PAC30-2021-4 Review and further develop the IJB's risk management policy		31-Oct-2022	31-Oct-2022	Clare Lewis-Robertson	Per the audit report management response, this will continue to be reported through the Governance Action Plan Update Report.

Action Code & Title	Progress Bar	Due Date	Original Due Date	Ownership Assigned To	Latest Update
▶ PAC31-2021-2 The Finance & Performance Group, when constituted, should consider both finance and performance in the context of the IJB's strategic risks	<input type="text" value="0%"/>	30-Jun-2022	30-Jun-2022	Dave Berry	The finance and performance group will be reconstituted as recommended.
▶ PAC31-2021-3 The IJB should monitor whether the Strategic Commissioning Plan is delivering the required outcomes	<input type="text" value="0%"/>	31-Mar-2024	31-Mar-2024	Dave Berry	The Integration Scheme is currently being revised and consideration will be given to establishing the relevant performance information relating to non-integrated functions as part of that process.
▶ PAC31-2021-4 Develop a process to trigger further analytical reports	<input type="text" value="0%"/>	30-Jun-2022	30-Jun-2022	Dave Berry	A more formal process to trigger further analytical reports will be developed.
▶ PAC31-2021-5 Consider performance information relevant to non integration functions in the review of the Integration Scheme	<input type="text" value="0%"/>	31-Mar-2024	31-Mar-2024	Dave Berry	The Integration Scheme is currently being revised and consideration will be given to establishing the relevant performance information relating to non-integrated functions as part of that process.
▶ PAC31-2021-6 The IJB should direct its partners to undertake a review of the resources required for performance management	<input type="text" value="0%"/>	30-Jun-2022	30-Jun-2022	Dave Berry	Corporate support arrangements to the IJB are being assessed as part of the review of the Integration Scheme. The HSCP is also reviewing the level of resources it deploys to performance management with a view to enhancing the team. This will be reported back to the IJB and Performance and Audit Committee through risk management reporting arrangements i.e. through a reduction or removal of this risk once all controls are implemented.

Action Status	
	Overdue
	Check Progress, Completion due
	Assigned
	Completed

GOVERNANCE ACTION PLAN FEBRUARY 2022 APPENDIX 2

PAC5-2021 Recommendation: Actions arising from the Transformation & Service Redesign internal audit report (2019) should continue to be monitored by being added to the Governance Action plan

DIJB TRANSFORMATION PROGRAMME INTERNAL AUDIT REPORT ACTION PLAN - PAC20-2019

Ref	Audit Recommendations	2019 - Actions Proposed	Responsible Officer	Timescales	Dec 2021 - Update
1	<p>To improve existing review and monitoring arrangements of the DH&SCP's Transformation Programmes, a record should be introduced and reviewed on a regular basis by key members of staff and groups</p> <ul style="list-style-type: none"> • 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. 	<p>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.</p>	<p>Chief Finance Officer / Head of Health and Community Care Services</p>	<p>31st August 2019</p>	<p>Progress on action included in governance action plan</p>
2	<p>It is vital that TDG meetings are not cancelled and that there is ongoing engagement at the meetings from all relevant individuals and groups. This should be stipulated in the TDG Terms of Reference, which should be endorsed by the TDG prior to approval by the PAC. 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.</p>	<p>Review of governance meetings and interrelationships has been initiated to ensure the most effective governance routes for policy and decision making. This includes reviewing the clearance route for papers to be presented to the IJB and PAC, Clinical and Care Governance Forum, relationships between strategic planning groups, the ISPG and the oversight of transformation in line with the Strategic and Commissioning Plan. This will provide more clarity on responsibilities and a rationalisation of meeting structures with the strong</p>	<p>Dundee Health and Social Care Partnership Management Team</p>	<p>30th June 2019</p>	<p>Progress on action included in governance action plan</p>

GOVERNANCE ACTION PLAN FEBRUARY 2022 APPENDIX 2

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DIJB TRANSFORMATION PROGRAMME INTERNAL AUDIT REPORT ACTION PLAN - PAC20-2019

Ref	Audit Recommendations	2019 - Actions Proposed	Responsible Officer	Timescales	Dec 2021 - Update
		possibility that the Transformation Delivery Group will not be required in future.			The Transformation Delivery Group was disbanded in 2020
3	Terms of Reference documents should be developed / reviewed for all groups that impact on the transformation and service redesign arrangements of the DH&SCP, including the ISPG. These should detail the roles, remits and governance arrangements of the group. Reporting requirements should be reviewed in relation to the Transformation Programme with clarity on the groups that transformation proposals should be presented to, i.e. IJB and Performance and Audit Committee, that should give approval to proceed with those proposals and the groups that require to be copied into proposals for information only.	This recommendation will be considered as part of the review noted above, including an assessment of the range and structure of the various client and theme based strategic planning groups. Please note development of terms of reference will take longer to establish hence the later action by date	Dundee Health and Social Care Partnership Management Team	30th September 2019	Added to the Governance Action Plan Dec 2021
4	Transformation Programme and Workstreams Reports should include a section noting the potential impact of the transformation programme /project on quality and make reference to the impact on clinical or / social work standards.	The existing documentation supporting the Transformation Programme will be enhanced to ensure the areas suggested in the audit recommendation are included	Chief Finance Officer / Head of Health and Community Care Services	31st August 2019	Ongoing development regarding presentation of information and not included as governance action
5	To ensure that efficiency savings can be easily identified, explained and tracked, evidence, including the methodology and principles applied, should be available / retained.	A comprehensive summary of the 2019/20 savings proposals methodology will be developed as part of the final 2019/20 budget development source files	Chief Finance Officer	30th June 2019	This recommendation was implemented in 2019/20 and therefore not included in the 2021 governance action plan

GOVERNANCE ACTION PLAN FEBRUARY 2022 APPENDIX 2

PAC5-2021 Recommendation: Actions arising from the Transformation & Service Redesign internal audit report (2019) should continue to be monitored by being added to the Governance Action plan

DIJB TRANSFORMATION PROGRAMME INTERNAL AUDIT REPORT ACTION PLAN - PAC20-2019

Ref	Audit Recommendations	2019 - Actions Proposed	Responsible Officer	Timescales	Dec 2021 - Update
6	To ensure consistency of approach for IJB transformation projects and assist with ensuring buy in and subsequent achievement of savings, corresponding budgets should be adjusted in NHS Tayside's general ledger.	This recommendation was implemented in 2018/19 and budget adjustments will be made timeously to the ledger for 2019/20 for those savings identified as being in relation to NHS provided services/expenditure	Chief Finance Officer	30th June 2019	This recommendation was implemented in 2018/19 and therefore not included in the governance action plan

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