



REPORT TO: PERFORMANCE AND AUDIT COMMITTEE – 26 NOVEMBER 2019
REPORT ON: GOVERNANCE ACTION PLAN PROGRESS REPORT
REPORT BY: CHIEF FINANCE OFFICER
REPORT NO: PAC42-2019

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 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 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. This action plan has also been added to in order to reflect a range of actions arising from the recent Audit Scotland Annual Report 2018/19 for Dundee Integration Joint Board. The progress of the actions is noted in Appendix 1.
- 4.2 Members of the PAC will note a delay in progressing a range of actions as set out in the report. This includes actions to be addressed through the updated Workforce and Organisational Development Plan which was not presented to the IJB in August as originally planned. This and other delays have been due to challenges in meeting a range of priorities with limited resources available to progress within the Health and Social Care Partnership. Progress is being made in strengthening the support structure and realign priorities to ensure these actions are completed over the course of this financial year. While the delay in progressing a number of improvement actions has been noted by both internal and external audit, this has not resulted in significant concerns as to the IJB's overall governance arrangements and systems of control.

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: 15 November 2019

Performance and Audit Committee Report	Audit Recommendation	Agreed Action	Original Action By / Date	Red: Not Started Amber: In Progress Green : Complete	Remedial Action/Comments	Revised Target Completion Date
Dundee Integration Joint Board Clinical, Care and Professional Governance Internal Audit Review <i>(PAC9-2018) 13th 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. 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	AMBER	<i>Review of the CCPG forum and the CCPG Group has led to the development of primary governance groups under each locality manager. Each Primary Governance Group is to report directly into the CCPG Group. Terms of reference are in development for the primary governance groups, which link directly through CCPG Group and Clinical Quality Forum ensuring assurance process from service level to CQF. CCPG Forum will continue to operate as an avenue for service managers to share good practice and have dedicated</i>	March 2020

					<i>space to discuss challenges across the Partnership.</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 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		N/A
	In addition to the 6 domains of clinical and care governance across delegated services, this review of remits needs to give consideration to: - 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 and Community Care 30 June 2018	AMBER	A reporting table has been developed in the Dundee Partnership outlining the expectation and reporting detail across different groups. This reporting table has been adopted by all three Partnerships. The Getting it Right for Everyone – A CCPG Framework is currently under review with a cross Tayside working group. This group is building on work already completed on reporting datasets which includes inspections reports, risks, adverse events etc.	December 2019
	It is recommended that any new arrangements be	The IJB will formally request that the Chair of the R1	Chief Officer	AMBER	<i>Working group established at Tayside</i>	October 2019 February 2020

	<p>considered and approved by the IJB or a nominated Committee/group.</p>	<p>Group advise the IJB of performance of R1 and any new arrangements to be implemented.</p> <p>Chief Officer of DIJB to clarify reporting arrangements between R1 and IJB.</p> <p>Regular representation at the R1 and CQF will be provided from the R2 Group.</p>	<p>Lead Allied Health Professional / Head of Service, Health and Community Care</p> <p>31 July 2018 (To allow time for R1 meetings to run)</p>		<p><i>level which will support and clarify reporting arrangements.</i></p> <p><i>A regular report is provided to the CQF and the Head of Service and/or Lead AHP attend to speak to the report at each meeting.</i></p>	
	<p>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.</p>	<p>Integration scheme delegated functions will be mapped to ensure forum membership reflects the breadth of delegated functions.</p> <p>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.</p>	<p>Lead Allied Health Professional / Head of Service, Health and Community Care</p> <p>30 April 2018</p>	<p>AMBER</p>	<p><i>Programme reporting covering all services will all be completed by June 2019.</i></p> <p><i>Schedule of services confirmed and membership extended to ensure all areas are considered by the R2 group</i></p> <p><i>The development of the Primary Governance Groups will ensure comprehensive reporting across all aspects of the Partnership. There are a number of anomalies with some teams sitting outwith Locality Manager structures and these teams will report</i></p>	<p>March 2020</p>

					<p><i>directly to CCPG Group.</i></p> <p><i>Further work to identify core and service datasets is ongoing, locally for DHSCP and across Tayside via the Getting it Right for Everyone Review Group.</i></p>	
	<p>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 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>Review work of R2 and Forum reporting arrangements and risk management against governance principles (Appendix A) and amend and adopt new approaches as required.</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>Lead Allied Health Professional / Head of Service, Health and Community Care</p> <p>30 June 2018</p>	<p>GREEN</p> <p>AMBER</p>	<p>Review work completed – considered and reflected within review of terms of reference.</p> <p>Work continues to progress the reporting arrangements but not yet complete – revised timescale of end of December 2019</p>	<p>n/a</p> <p>December 2019</p>

<p>Dundee Integration Joint Board Workforce Internal Audit Review</p> <p>(PAC8-2018) 27th March 2018</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 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>	<p>Head of Health and Community Care / Head of Finance and Strategic Planning</p> <p>August 2018</p>	<p>AMBER</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 February IJB meeting therefore actions will be taking forward from then.</i></p>	<p>December 2019 March 2020</p>
	<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.</p> <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</p>	<p>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 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</p>	<p>Head of Finance and Strategic Planning</p> <p>August 2018</p>	<p>RED</p>	<p>Current level of resources have not enabled progress to be made.</p> <p>Proposals for enhanced IJB support functions being developed within the H&SCP to assist taking this and other governance issues forward.</p>	<p>March 2020</p>

	<p>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>expected level of support which can subsequently be monitored and report to the IJB.</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 staff to maximise the use of resources within the DH&SCP.</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 reflected in future integrated workforce plans.</p> <p>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>	<p>Head of Health and Community Care / Head of Finance and Strategic Planning</p> <p>August 2018</p>	<p>AMBER</p>	<p><i>Updated Workforce and Organisational Development Plans, compatible with the revised Strategic and Commissioning Plan due to be presented to the IJB in February 2020</i></p>	<p>December 2019 February 2020</p>
<p>Action Plan in Response to the Services for Older People (Edinburgh) Inspection Report</p> <p><i>(PAC 29-2018) 29th May 2018</i></p>	<p>Action Plan was requested by the PAC in relation to lessons learned from the Edinburgh inspection and what improvements would be required in Dundee.</p>	<p>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.</p>	<p>Various with latest timescales for completed action identified as March 2019.</p>	<p>RED</p>	<p><i>Report to now be presented to the February 2020 PAC meeting</i></p>	<p>November 2019 February 2020</p>
<p>Risk Management Action Plan</p>	<p>Action Plan was required to respond to the findings of the</p>	<p>A wide range of actions are reflected in this detailed</p>	<p>Chief Finance Officer</p>	<p>AMBER</p>	<p><i>Discussions held between risk</i></p>	<p>December 2019 February 2020</p>

(PAC8-2019) 12 th February 2019	Risk Maturity Assessment presented to the PAC on the 25 th September 2018.	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.	September 2019		<i>management functions of Dundee City Council and NHS Tayside to agree way forward for actions. Follow up meetings with partners across Tayside scheduled to enable actions to be completed</i>	
Transformation and Service Redesign Internal Audit Report (PAC9-2019) 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	GREEN	<i>Action Plan presented on agenda for meeting on 29th May 2019</i>	n/a
2017/18 Annual Internal Audit Report – Action Plan Update (PAC7-2019) 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	RED	<i>Discussion to be held between Chief Executives</i>	July 2019 November 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.	Revised April 2019	AMBER	<i>Updated Workforce and Organisational Development Plans, compatible with the revised Strategic and Commissioning Plan due to be presented to the IJB in February 2020.</i>	December 2019 February 2020
	Developments in relation to clinical and care governance should take into account the	To be tabled as agenda item for Clinical and Care	Revised March 2019	GREEN	Taken into account as part of review of terms of reference.	n/a

	Social Work Scotland guidance document on Governance for quality social care in Scotland.	Governance Group for progressing.				
	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	AMBER	<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>	February 2020
	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.	Revised - March 2019	RED	<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, timescale revised accordingly – this will ensure the Large Hospital Set Aside is considered as part of the 2020/21 delegated budget process</i>	December 2019 March 2020
	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	GREEN	<i>Action plan developed by the Clerk to the Board for each IJB and PAC.</i>	n/a

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	Discussions ongoing with neighbouring IJB's re responsibilities around hosting arrangements.	December 2019 March 2020
Development of an overall Governance Action Plan to progress previous recommended areas for improvement.	To be developed as suggested.	Revised March 2019	GREEN	n/a	n/a
Development of regular IJB and PAC member induction and development process.	To be developed as suggested.	Revised June 2019	GREEN	Development session held prior to October IJB meeting	n/a
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.	October 2019 February 2020
Present the governance principles adopted by the Health and Social Care Partnership.	To be presented to the February 2019 IJB meeting.	Revised April 2019	GREEN	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	n/a
Development of multi-year financial plan as part of the	Development of multi-year financial plan to be part of the budget setting process for	March 2019	GREEN	Incorporated within the review of the Strategic and	

	review of the Strategic and Commissioning Plan.	2019/20 and beyond which will reflect and be incorporated into the revised Strategic and Commissioning Plan.			<i>Commissioning Plan. Will also be reflected in the IJB's final budget setting report to be presented to the June 2019 IJB meeting following receipt of confirmation of delegated budget from NHS Tayside.</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	AMBER	<i>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 IJB prior to the end of March 2020</i>	October 2019 March 2020
	Develop Scheme of further delegation in relation to delegated services to the Integration Joint Board.	To be developed as suggested.	Revised April 2019	GREEN	<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	GREEN	n/a	n/a
	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	AMBER	Will form part of revised performance monitoring reporting into 2019/20 following approval of revised Strategic and Commissioning Plan.	December 2019

Audit Scotland Annual Audit Report 2018/19	The financial ledger should be fully updated in 2019/20 prior to the approval of the annual accounts.	Ensure the financial ledger is fully updated to reflect all accounting entries prior to the approval of the annual accounts.	Chief Finance Officer June 2020	AMBER	Instruction issued to DCC to ensure this happens at the year end	June 2020
	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 planning processes and the development of long-term financial strategy on how to close the gap between funding and service provision.	Chief Finance Officer March 2020	AMBER	Work continues to develop the longer term financial framework as part of the budget setting process	March 2020
	The position of the achievement of savings proposals and the impact on the transformation programme should be regularly reported to members	Reports on savings progress and the impact on the transformation programme to be presented regularly to members.	Chief Finance Officer October 2019	GREEN	Financial monitoring report presented from October IJB meeting now includes assessment of progress around savings/transformation	n/a
	The risks arising from EU withdrawal should be included in the IJB's strategic risk register and, as commissioning authority, the IJB should seek to ensure, that satisfactory arrangements have been put in place by	Work with partner bodies to obtain assurance that satisfactory arrangements have been put in place by partner organisations to manage the potential risks arising from EU withdrawal. Reflect the outcome in the strategic risk register	Chief Finance Officer November 2019	AMBER	Information gathered from partner bodies to enable register to be updated	November 2019

	partner bodies to manage potential risks					
	Chair's Assurance Report from the Clinical, Care and Professional Governance Group should be presented to the Performance and Audit Committee on a regular basis	To be included on PAC agendas as appropriate depending on timing of Clinical, Care and Professional Governance group meetings	Clinical Director/Head of Service Health and Community September 2019	GREEN	Reports now included on all PAC agendas	n/a
	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 December 2019	AMBER	Clerk has written to NHS Tayside and awaits a formal response	December 2019
	The Governance Action Plan progress report should be further developed to include all improvement action plans	Further develop the Governance Action Plan to include all improvement action plans.	Chief Finance Officer November 2019	GREEN	Action Plan now includes both internal and external audit recommendations	n/a
	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	Chief Finance Officer March 2020	AMBER	Continues to be discussed at budget meetings with the parties	March 2020

		processes as far as practicable.				
	Budget monitoring processes should be amended to include: <ul style="list-style-type: none"> • explanations within monitoring reports to members in relation to changes to the approved budget • monitoring reports on the final out-turn for the year 	A final outturn monitoring report for 2018/19 was considered at the June 2019 Board meeting. Budget monitoring reports have not developed to include explanations in relation to changes to the approved budget	Chief Finance Officer March 2020	GREEN	Budget monitoring reports from October 2019 now include details of budget changes	n/a
	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 March 2020	AMBER	Progressing as planned	March 2020
	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 March 2020	AMBER	Progressing as planned	March 2020
	The IJB should: <ul style="list-style-type: none"> • review its processes for minute taking. • publish the register of interests covering Board 	Further development of the IJB and PAC minutes and papers to ensure full transparency and accurate recording of the discussions,	Chief Officer/ CFO/ Clerk to the Board September 2019	AMBER	Minutes expanded as required to reflect key discussions. Further progress to be made	December 2019

	members and senior management on the IJB's website	questions asked and assurances provided				
	Mechanisms and reporting arrangements should be implemented to provide assurance to the Chief Officer and the Board that the IJB has arrangements in place to demonstrate that services are delivering Best Value.	Further learning from other IJB's reporting with regards to Best Value to be gained and considered for reflection in the 2019/20 Annual Performance Report	Chief Finance Officer June 2020	AMBER	Progressing as planned	June 2020