

## Appendix 1 – Internal Audit Report 2312 Action Plan Update

A summary of progress against specific recommendations within Internal Audit Report 2312 – Assurance Review of IJB Governance is provided below. Recommendations noted as complete have been signed off with Internal Audit as closed. At the time of writing 10 of the 15 recommendations agreed have been completed.

### Completed Actions/Recommendations

Item No.	Recommendation	Grading	Person(s)	Due Date	Progress	Status
1.1	The IJB should ensure consultation is completed and the review of the Integration Scheme concluded and reported back to the IJB promptly.	Moderate	Chief Officer	April 2023	Review of the Integration Scheme including public consultation was completed and the revised version approved by IJB, Aberdeenshire Council and NHS Grampian and has been submitted to Scottish Government.	Complete
1.6	The Chief Officer should report annually on the use of emergency powers, in line with the delegation of those powers by the IJB.	Moderate	Chief Officer	March 2023	A report was submitted to the 1st March 2023 meeting of the IJB providing a report on all instances where delegated urgent powers have been used since the IJB's decision to approve this provision in March 2020, subsequently formalised in the IJB's Scheme of Governance in March 2022. An internal system has been established including a register for recording and reporting of all future instances where urgent powers are used including the submission of an annual report to the IJB moving forward.	Complete
1.7	The next update of the MTFs [Medium Term Finance Strategy] should reflect scenario planning, including the potential impact of a revised Strategic Plan from 2025	Moderate	Chief Finance and Business Officer (CFBO)	August 2023	The updated MTFs was presented and approved by the Integration Joint Board at its meeting on 05 July 2023.	Complete

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1.9	The IJB should have a role in determining strategy (e.g. the strategic elements of the Workforce Plan, and further strategies still to be updated and implemented).	Major	Chief Officer	March 2023  (Internal Audit confirmed extension to June-23)	The IJB has been and will remain formally sighted and consulted on key strategies. Strategy tracker is in place to monitor AHSCP strategies throughout their lifespan and ensuring development, evaluation and review is undertaken within required timelines and scheduled into the IJB forward planner. Work also undertaken on strategy process/flow chart to ensure consistency of approach including IJB involvement with formalized process in place for us of Special Urgency measures if required. At its meeting in July 2023 the IJB considered and approved both the HSCP Workforce Plan annual review update and the Autism Strategy.	Complete
1.4	The IJB should consider aligning rotation of its committee chairs.	Minor	Chief Officer	Recorded as implemented within IA Report	Agreed. This has been given due consideration. Legal advice provides that members can change which committee they are on at any time and Cllr terms and NHS Board member terms are not coterminous. There are considered to be both advantages and disadvantages to aligning rotation of chairs, and we feel that the greater risk would be with the impact of multiple changes at once.	Complete
1.10	The HSCP should maintain a core accessible register of all current and intended strategies and use it in forward planning for strategy updates.	Moderate	Interim Strategy and Transformation Manager	Part Implemented/ December 2023	A tracker has been developed to monitor strategies throughout their lifespan, ensuring that the development, evaluation and review of a strategy is included in the IJB forward planner to allow sufficient involvement and consideration of key strategies by the IJB.	Complete
1.11	a) The HSCP should maintain a core register of all current and intended plans and use it in forward planning for plan updates.	Major	Programme Manager	Implemented	Reporting schedules for updates on plans are in place and a template has been developed to support consistent updates to the Senior Management Team.	Complete

Item No.	Recommendation	Grading	Person(s)	Due Date	Progress	Status
1.13	The annual performance report should be published and shared with Partners in line with the requirements of the Act.	Moderate	Programme Manager	April 2023	The annual performance report has been published on the HSCP section of the Council website and shared with both Partners.	Complete
1.14	The IJB Action Log should be extended, or supplementary planners developed and published, to cover all required and planned formal business.	Moderate	Interim Strategy and Transformation Manager	July 2023	IJB master planner has been augmented with dates for when future strategies/reviews will need to be brought back to the IJB and ensuring critical/time sensitive items are clearly identified. Strategy work planner provides a more detailed operational tool to support forward planning with oversight held by AHSCP Strategy team.	Complete
1.15	The Service should ensure stakeholders receive performance reports on a regular basis. Stakeholders should be consulted on proposed changes to performance reporting.	Major	Interim Strategy and Transformation Manager	Ongoing	IJB approved its Strategic Delivery Plan performance framework on 1st March 2023. The performance report was subsequently presented to the Communities Committee on 30/03/2023 which agreed to continue to receive reports on a 6-monthly basis in line with the reporting process for other Council services/directorates. HSCP officers presented the IJB performance reports to Area Committees in May/June 2023 with approval to report formally on 6-monthly basis. Performance reporting arrangements continue to Council Senior Leadership Team and NHS Grampian Chief Executives Team.	Complete

## In-Progress Actions/Recommendations

Item No.	Recommendation	Grading	Person(s)	Due Date	Progress	Status
1.2	The IJB's committees should all publish their meeting agenda papers, minutes and decisions.	Moderate	Chief Officer and Chief Finance and Business Officer	July 2023  (Internal Audit confirmed extension to December 2023)	IJB Audit Committee papers are published online in accordance with Council Committee arrangements and IJB standing orders. It has been agreed to publish the Clinical and Adult Social Work Governance (CASWG) Committee meeting papers and Legal advice received regarding requirements in line with the standing orders of the IJB. Funding is being identified to recruit dedicated Committee Officer support and this will be progressed. In the short term a request was submitted to Committee Services for support to publish the papers of the next scheduled CASWG Committee meeting via the Council committee system however Committee Services have no capacity at the moment to support this. The HSCP is investigating alternative routes to publish the information as an interim measure.	In-Progress
1.3	The IJB's committees should each formally review their effectiveness and performance annually in line with their terms of reference.	Moderate	Chief Officer and Chief Finance and Business Officer	December 2023	Committees are being supported to undertake an annual review of their effectiveness, in line with their terms of reference. A draft self-assessment tool has been developed with the proposal that this is tailored for use by each Committee. The IJB Audit Committee has agreed to use this self-assessment tool and timelines to implement the self-assessment are to be finalized. Learning from this process will be utilized to inform subsequent implementation with the CASWG Committee.	In-Progress

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1.5	The Service should ensure group structures, remits, and reporting lines are clearly recorded, mapped, and published.	Moderate	Interim Strategy and Transformation Manager	December 2023	<p>The HSCP has an Organisational Governance Framework which is subject to annual review and will be updated and submitted to the IJB at its December 2023 meeting for approval. Updates to the supporting documentation around group structures, remits and reporting lines continue to be refreshed on a 6 monthly basis.</p> <p>Further to advice from Customer and Digital Services which confirms only high-level information is published on the Council website the HSCP will look to include high level information on the IJB Committees on its public pages (in addition to that already published via the Committee meetings site) and, upon approval by IJB, make available the Organisational Governance Framework via Arcadia and NHSG intranet.</p>	In-Progress
1.11	c) All plans should set out clear, Specific, Measurable, Attainable, Relevant, Timebound (SMART) goals, milestones, performance measures and baselines against which to measure delivery.	Major	Programme Manager	March 2024	<p>Work completed on the review of all project documentation and creation of a project process flow chart. Within this documentation is the Project Charter which provides guidance on creating measurable benefits for the project (identified through the Benefit Mapping activities carried out for each new project).</p> <p>A generic template has been developed to support delivery plans ensuring all associated actions are SMART and developed in a more consistent way – this will now be tested/rolled out across our strategy delivery plans.</p>	In-Progress
1.12	The HSCP should set out the separate arrangements for carrying out the integration functions in each Locality.	Major	Chief Officer	August 2023 (Internal Audit confirmed extension to	The common objectives of the HSCP are set out in the Strategic Plan, with local delivery reflecting local need. The Integration Scheme describes the arrangements for how services are devolved locally to the IJB and within the HSCP. Information on	In-Progress

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				December 2023)	<p>arrangements for how services are provided in localities is described in both the Strategic Plan and Annual Performance Reports, as well as those services which are managed on an Aberdeenshire-wide basis or hosted on behalf of all 3 HSCPs in NHS Grampian. The HSCP has a clear organogram through its iMatter structure denoting reporting responsibilities across local teams.</p> <p>Work continues on updating information on the HSCP web pages outlining the specific services provided in each area including the building based services and teams managed by each of the Location Managers. Information Governance approval is awaited from Public Health Scotland in order to publish Locality Profiles to provide further local context.</p> <p>The IJB has agreed that the HSCP will participate in Aberdeenshire Council's place-based strategy to support an integrated approach moving forward. HSCP officers have participated in several meetings/workshops with Aberdeenshire Council in the development and implementation of the Place Strategy, alongside participation in associated local place based pathfinders/projects in Inverurie and Fraserburgh. A report is scheduled to be brought to the October 2023 meeting of the Integration Joint Board to seek further input and direction from the IJB on this strategy.</p>	

## Recommendations not agreed by the HSCP

Item No.	Recommendation	Grading	Person(s)	Due Date	Progress	Status
1.8	The HSCP should develop a Commissioning Strategy describing its overall commissioning direction and intentions, and the interrelationship with the Strategic Plan, Strategic Development Plan, MTFS and Workforce Plan.	Moderate	N/A	N/A	<p><b>This recommendation was not agreed by the HSCP but is included for completeness.</b></p> <p>The HSCP continues to work on strengthening and ensuring clarity as to linkages between the Strategic Plan, Strategic Delivery Plan, MTFS, Workforce Plan and its Commissioning and Procurement Plan which is a live document regularly updated. The HSCP, working collaboratively with the Commercial and Procurement Shared Service, has enhanced its governance and oversight around strategic commissioning through the establishment of its Commissioning and Procurement Group which monitors the Commissioning and Procurement Plan and reports both to the Senior Management Team and Strategic Planning Group to ensure ongoing alignment between commissioning activities and the IJB's strategic priorities. Consideration will be given within the Commissioning and Procurement Group to development of a summary document setting out the HSCP's commissioning approach and linkages to existing strategies.</p>	Not Agreed
1.11	b) The HSCP should review operational plans to ensure there are comprehensive, performance measurable, plans for all of the functions delegated under the Integration Scheme.	Major	N/A	N/A	<p><b>This recommendation was not agreed by the HSCP but is included for completeness.</b></p> <p>The IJB has agreed the HSCP does not have the capacity to prepare an operational delivery plan for all of the functions delegated under the Integration Scheme and has agreed a prioritised approach.</p>	Not Agreed