

Appendix 1 – Internal Audit Report 2212 Action Plan Update

A summary of progress against specific recommendations within Internal Audit Report 2212 – IJB Transformational Projects is provided below, as at August 2023. Recommendations noted as complete have been signed off with Internal Audit as closed.

Item No.	Recommendation	Grading	Person(s)	Due Date	Progress	Status
2.1.5	Specific milestones, reporting schedules, and performance measures should be set for each project.	Moderate	Strategy and Transformation Manager	December 2023	<p>Work completed on the review of all project documentation and creation of a project process flow chart.</p> <p>The HSCP will continue to work on embedding and supporting this through the project management tools and processes it has developed. Phases and plans are being developed, and milestones and outcomes are being clarified for the first phase of projects being progressed within the next financial year. Progress with implementation will feed in to the refreshed reporting process outlined below at 2.1.8</p> <p>Reporting schedules for updates on plans are in place and the project documentation has been developed to support consistent updates to the Senior Management Team (SMT) and Strategic Planning Group (SPG).</p> <p>Focus in the last 6 months, in response to IJB direction, has been given to further prioritization of the HSCP's workstreams to ensure deliverability of the overall Strategic Delivery Plan as system demands continue. This has required review and revision of the reporting timetable, and work to be revisited on project charters to ensure these are completed/reflect new objectives and priorities – this work is ongoing. Work has been completed on a generic template to support a consistent approach to monitoring of delivery plans ensuring all associated actions are SMART – this will now move to implementation.</p>	In-Progress

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2.1.8	Governance and reporting arrangements for transformational projects should be fully and consistently implemented.	Moderate	Strategy and Transformation Manager	December 2023	<p>The HSCP has been working to an agreed governance and reporting structure with project update reports being reported to either the Strategic Planning Group (SPG) or Senior Management Team (SMT)</p> <p>Enhanced reporting arrangements were presented to and approved by the IJB in December 2022, including the introduction of quarterly reports summarising progress on Transformational projects. Additionally a more detailed update on each project is scheduled and presented to the Strategic Planning Group (SPG) which is then reported to IJB via the SPG's summary report.</p> <p>Quarterly performance reports have been submitted to the IJB in March and July 2023, and subsequent reports added to the IJB's forward planner. Focus in the last 6 months, in response to IJB direction, has been given to further review of the HSCP's workstreams to ensure deliverability of the overall Strategic Delivery Plan as system demands continue.</p>	In-Progress
2.1.12	Project identification and prioritisation processes should be formally set out and decision making recorded.	Moderate	Strategy and Transformation Manager	December 2023	<p>A high-level set of prioritisation criteria was utilised by the Senior Management Team when considering new priorities for the Strategic Delivery Plan 2022 onwards. A number of workshops and engagement sessions were held with HSCP officers to consider and agree priority workstreams moving forward. In addition two development sessions were held with IJB members to discuss and seek feedback on priorities prior to presentation of the revised Strategic Delivery Plan 2022-25 which was subsequently approved by the IJB in December 2022.</p> <p>The IJB received a full list of projects in March 2023 as part of the refreshed reporting arrangements discussed at 2.1.8 above. All new projects complete a project mandate which includes consideration of delegation and reporting, and is</p>	In-Progress

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					<p>submitted to SMT for consideration and approval to support ongoing prioritization of capacity and resources.</p> <p>The project mandate process has now been utilized on several occasions enabling SMT consideration and decision-making which is then recorded in SMT minutes and on the project mandates.</p> <p>Following the IJB's request for officers to further review and prioritise the HSCP's workstreams to ensure deliverability of the overall Strategic Delivery Plan, the performance report submitted to and approved by the IJB on 05 July 2023 provided an update on initial outcomes from this process with agreement to cease 3 workstreams.</p>	
2.1.17	Projects should report back to the SPG, and then to the IJB, in line with the agreed reporting frequency and with a consistent level of detail.	Moderate	Strategy and Transformation Manager	December 2023	<p>As described in 1.8 a more detailed update on each project is scheduled and presented to the Strategic Planning Group (SPG) which is then reported to IJB via the SPG's summary report.</p> <p>As noted above, in response to IJB direction, recent focus has been given to further review of the HSCP's workstreams to ensure deliverability of the overall Strategic Delivery Plan as system demands continue. A revised timetable has been agreed and reporting to SPG will resume from its August 2023 meeting with reports to be thereafter presented to the IJB.</p>	In-Progress
2.1.18	There should be a single clearly referenced list of all projects, from which the SPG and IJB can identify the extent of transformation work and obtain assurance over progress.	Minor	Strategy and Transformation Manager	December 2023	The refreshed reporting mechanism includes the allocation of a project identification number for each project. The progress of all transformational projects is monitored through a Strategic Delivery Plan tracker which supports the quarterly performance reports to IJB.	Complete

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					The new referencing system was introduced with the IJB quarterly performance report in July 2023 with Internal Audit thereafter agreeing this recommendation as complete.	
2.1.19	Escalation processes for risks should be clearly defined and applied consistently.	Moderate	Strategy and Transformation Manager	December 2023	<p>A Risk Policy and Procedure exists for risks added to the HSCP's risk register. Updates to all risks on the risk register are scheduled and reported using a set template to either the Clinical and Adult Social Work Governance (CASWG) Group or the Risk and Assurance Group (depending on whether the risk is clinical or non-clinical). Any escalation regarding a risk would also be via these groups.</p> <p>The project charter includes the identification of risks and the project update template to SMT and SPG requires updates on these risks. Assessment on the level of risk is the responsibility of the project lead and monitored through the project group. Further work is planned to create a more consistent approach to determining the level of risk, and to support the SPG and SMT to consistently and effectively scrutinise the risks for each project.</p> <p>Work is underway to ensure every transformation project has its own risk identified on the IJB Risk Register ensuring effective monitoring and escalation throughout the project's duration (and recorded via Datix, the HSCP's online system for recording risks). Through this process, risk owners will be routinely prompted to review and update risks with oversight through either the Clinical and Adult Social Work Governance Group (for clinical risks) or Risk and Assurance Group (non-clinical risks).</p>	In-Progress

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2.1.22	Authority and controls over change management should be clearly defined and applied consistently.	Moderate	Strategy and Transformation Manager	December 2023	<p>A process for change controls will be developed and monitored through SPG and SMT linking with 2.1.19.</p> <p>This process remains in development; the strategic delivery plan performance reports to IJB now will report specific changes or decisions requiring escalation; approval to cease/pause 3 workstreams was sought via the performance report to IJB in July 2023 and recorded accordingly.</p>	In-Progress
2.2.5	Consistent templates should be used across the board for planning and reporting every project.	Moderate	Strategy and Transformation Manager	December 2023	<p>The service has undertaken significant work to develop an agreed project process and documentation suite and will continue to work on embedding consistency and rigour in its approach, recognising the scale and complexity of workstreams it has responsibility for. The introduction of a project mandate document with approval through the SMT is intended to support a consistency and central point of oversight for all new projects; this will include reporting to IJB where it has been documented in the mandate that this is required.</p> <p>As previously indicated the project mandate process has now been utilized on several occasions enabling SMT consideration and decision-making recorded in SMT minutes and on the project mandates. Work continues to ensure comprehensive documentation across all workstreams recognizing that some projects require review of project charter where wider system impacts/demands have required a change in project objective/focus.</p>	In-Progress