

Title/Subject: Governance Action Plan
Meeting: Integration Joint Board Audit Committee
Date: 27 February 2017
Submitted By: Ewan Murray, Chief Finance Officer
Action: For Noting

1. INTRODUCTION

- 1.1 The 2015/16 Annual Internal Audit Report was presented to the IJB with the Annual Internal Audit Plan on 5 August 2016.
- 1.2 This was a report on the governance arrangements developed in 2015/16 in relation to Falkirk IJB
- 1.3 The reports audit recommendation, which was agreed by the IJB, was that an action plan and progress would be developed and presented to the IJB or an appropriate governance committee.

2. RECOMMENDATION

The Falkirk IJB Audit Committee is asked to:

- 2.1 Note the Governance Action Plan attached as Appendix I to this report.

3. BACKGROUND

- 3.1 The Annual Internal Audit Plan and Annual Internal Audit Report was presented to the IJB meeting of 5 August 2016.
- 3.2 The Governance Action Plan attached as Appendix I to this report was prepared in response to the audit recommendation contained in the Annual Internal Audit Report and reports progress on the IJB planned improvements or further development of governance arrangements within 2016/17.
- 3.3 This action plan, updated as required, will be used as a basis for the Annual Governance Statement within the 2016/17 IJB Annual Report.
- 3.4 A scheme of delegation will be presented to the Special IJB meeting in March 2017 for approval.

Resource Implications

None directly arising

Impact on IJB Outcomes and Priorities

None

Legal & Risk Implications

The information within the governance action plan will be used as a basis for the Annual Governance Statement within the 2016/17 IJB Annual Report.

Consultation

The IJB Chief Officer has been consulted on the content of this report.

Equalities Assessment

No equalities issues arising.

Approved for Submission by: Chief Finance Officer

Author – Chief Finance Officer

Date: 20 February 2017

List of Background Papers: The papers that may be referred to within the report or previous papers on the same or related subjects.

5 August 2016 – IJB Annual Internal Audit Plan

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Annual report actions	Proposed management action	Responsible Officer/ Timescale	To be reported to	Status R/A/G/ Complete	Comments
Developments in 2016/17- in place or planned by management					
Approval of a full Scheme of Delegation for the IJB	Scheme of Delegation will be presented to Special Board meeting on 30 March 2017.	Chief Officer	IJB	A	Draft in place. Will be finalised in conjunction with review of Falkirk Council and NHS Forth Valleys Schemes of Delegation
Management structures for the partnership to be developed	Updates provided with reports to August, October and December IJBs. Further discussions ongoing and will be reported to IJB in due course within Chief Officers reports.	Chief Officer	IJB	A	
Approval of the 2016/17 annual internal audit plan	Approved by Audit Committee 22 September 2016	Chief Finance Officer	Audit Committee	Complete	
Further work on arrangements for hosted services	Linked to further discussions on management structures.	Chief Officer	IJB	A	
Development of the performance framework including on the agreed core set of performance measures and targets for reporting to the IJB	Update on performance framework was presented to October 2016 IJB with performance reports being presented to December 2016 and February 2017 IJB meetings.	Head of Performance and Governance, NHS FV	IJB	G	Performance arrangements will continue to evolve over time.

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Implementation and embedding of the Clinical and Care Governance Framework	Will be reviewed further post appointment of new Medical Director for NHS Forth Valley. Chief Social Work Officer leading area of work until June 217.	Medical Director / Chief Social Work Officer	IJB	A	Arrangements will continue to evolve over time.
Development of the IJB Development Programme	Approved at August 16 IJB.	Chief Officer/ Head of Organisational Development	IJB	Complete	Will require further consideration for membership changes after May 2017.
Recommended further issues for consideration by management					
Accountability and responsibilities of the IJB in respect of all governance arrangements should be clarified and agreed by the IJB and parties and flow through to risk management and assurance arrangements;	Risk management strategy (March 16) and Strategic Risk Register (June 16) developed and approved by / presented to IJB.	Head of Risk Management	Audit Committee & IJB	Complete	Further update planned - June 2017
Assurance arrangements should include consideration of reporting lines and the flow of assurance including any officer and governance groups in place. Workplans/reporting schedules should be developed for the IJB and its Standing Committees, showing when items of business require to be considered to deliver their purpose and remit of the IJB as well as any additional reporting agreed by members	Discussions ongoing. Pragmatic proposals for 2016/17 being developed and discussed with constituent authorities as part of Annual Reporting Planning drawing assurance from existing assurance arrangements and committee structures within constituent authorities.	Chief Finance Officer	Audit Committee	G	Arrangements will require to develop further as partnership arrangements mature.

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An Assurance Framework is in development; which should include explicitly linking objectives, risks, controls/actions and assurances/performance reporting within the context of the IJB governance structures. Target completion dates should be established with monitoring undertaken by the Audit Committee;	Will require to develop further over coming year.	Chief Finance Officer	Audit Committee	A	
Produce and monitor action plans to be taken in response to the Audit Scotland reports on HSCI	Self Assessments drafted and will be presented to Audit Committee for scrutiny in February 2017 before presentation to the IJB.	Chief Officer / Chief Finance Officer	Audit Committee then IJB	G	
Reporting arrangements for the 'Falkirk Health and Social Care Partnership Integrated Workforce Plan' to be developed to ensure that the IJB receives Staff Governance and Workforce Planning Reports	Further workshop held 9 th February 2017. Revised action plan being produced which will be presented to IJB in due course.		IJB	A	Emergent Issues will require to be considered in ongoing planning including any locality specific issues.

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Development of the Performance Management Framework should include consideration of how the framework will address Best Value requirements.	Consideration on Best Value explicitly reference in Performance Framework and Performance Management Reporting	Chief Finance Officer	Audit Committee & IJB	G	Will develop further over time as performance management arrangements and locality planning develops.
Update <i>The 'Clinical and Care Governance Framework'</i> to overtly incorporate section 5.15 and 5.16 of the Falkirk Integration Scheme which states ' <i>the Chief Social Work Officer reports annually to a meeting of the Council on the discharge of his/her duties as Chief Social Work Officer</i> ' relating to both the Integration Functions and Non-Integrated Functions/Services. In addition to the annual report, the Chief Social Work Officer is entitled to advise the Council on all matters relating to social work functions.	Paper updating text of Clinical Governance Framework will next meeting of Clinical Governance Group (CGG) – date of CGG to be confirmed and will be reported thereafter to the IJB	Chief Officer	IJB	A	

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The implementation of the proposed actions planned in response to the Audit Scotland reports should be monitored.	Delivery planning and development of locality plans will take account, where relevant, of planned actions in response to the Audit Scotland reports and will be monitored through these plans.	Chief Officer	Leadership Group and IJB	A	
Objectives and appraisal processes for the Chief Officer and Chief Finance Officer to be implemented.	<p>Chief Officer discussing 2017/18 objective setting and appraisal will Chief Executives of Falkirk Council and NHS Forth Valley</p> <p>Chief Finance Officer – Objectives and appraisal processes linked to appointment of permanent Chief Finance Officer and involving Chief Officer with Director of Finance of NHS Forth Valley and Chief Finance Officer of Falkirk Council</p>	<p>Chief Officer / Chief Executives</p> <p>Chief Finance Officer / Chief Officer / NHS Forth Valley Director of Finance / Falkirk Council Chief Finance Officer</p>	<p>Relevant Officers</p> <p>Relevant Officers</p>	<p>A</p> <p>A</p>	