



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 22 February 2018

BY: Chief Finance Officer

SUBJECT: Internal Audit Report – IJB Strategic Plan

1 PURPOSE

- 1.1 This report lays out the management responses and actions to a report by the IJB's Internal Audit team on the management and delivery of the IJB's Strategic Plan 2016-19.

2 RECOMMENDATIONS

- 2.1 The IJB is asked to:
- Note the contents of this report.
 - Support the actions as described.

3 BACKGROUND

- 3.1 The IJB's Audit and Risk committee received a report from the IJB's Chief Internal Auditor at its meeting on 12th December 2018 regarding the IJB's Strategic Plan. The summary report is attached as Appendix 1.
- 3.2 The audit report discusses the Internal Audit finding from its review of the IJB's strategic plan, the objective of which was to ensure that the arrangements in place for the implementation of the IJB's Strategic Plan were operating effectively.
- 3.3 Following discussion at the Audit and Risk Committee and given the centrality of the strategic plan to the IJB's business it was agreed to bring this report, its findings and the agreed management actions to the attention of the IJB..
- 3.4 Internal Audit categorise the recommendations in their reports into three elements:-

- High – recommendations which are fundamental to the system and require immediate action.
- Medium – recommendation to improve the efficiency and effectiveness.
- Low – recommendations concerning minor items.

The recommendations in this report fall into the medium category.

3.5 In summary, the report expressed concerns around the mechanism for monitoring and reporting the progress and implementation of the Strategic Plan and the processes to review and update the strategic plan. The Chief Officer agreed with these recommendations and has taken actions to address them.

3.6 The actions agreed are:-

Recommendation 3.3.1 - Consideration should be given to reviewing and refreshing the Strategic Plan to ensure that it continues to be an accurate reflection of the IJB's priorities.

Resulting actions:

The mechanism for reviewing and updating the IJB's strategic plan is through the Strategic Planning Group supported by the Strategic Planning Programme Board. Further, the recent establishment of the specific strategy groups focussed on the different elements of the of the overall strategic plan will aid the reviewing and refreshing of the Plan. The arrangements for these groups has been revised to ensure that they are able to support the review of the financial plan. The Strategic Plan is, in principle, for three years although as issues arise these are being brought to the IJB. That said, a workplan is being developed to ensure that the plan is properly updated. This action to be completed by March 2018.

Recommendation 3.4.1 - Management should ensure that appropriate monitoring and reporting arrangements are in place to provide an overview to the IJB of the progress being made in implementing the Strategic Plan Implementation Programme. Management should ensure that delivery plans and business action plans are prepared on an annual basis clearly outlining the priorities to be addressed in the coming year.

Resulting actions:

An East Lothian Data Group has been established and has held several meetings to develop its remit and focus. This group has a remit which will support the development of a range monitoring and reporting mechanisms including operational performance for the management team, performance against the IJB Strategic Plan, performance against Directions, performance against Government targets and Indicators, performance against our local delivery plan and clinical and care

governance. This data group has membership from across the H&SCP within planning and performance, ISD / List, Health Promotion, Primary Care and Chief Finance Officer. (See proposed remit attached in appendix 2)

Updates on the progress of the implementation of the Strategic Plan will be reported to the IJB. The implementation of the Strategic Plan is delivered through the IJB's directions and an update on the progress with the directions is reported to the IJB and the IJB's directions are formally presented to the IJB for agreement before they are issued to the Partners. An annual delivery plan will be prepared for reporting to clearly show how the plans for that particular year will achieve the Strategic Plan and to reflect on any changes in year that may be required as circumstances change.

Recommendation 3.5.1 - Management should review the Strategic Planning arrangements in place to ensure that roles and remits, accountability structures and governance are operating in accordance with the Strategic Planning Framework. Management should ensure that adequate arrangements are in place for the regular reporting of the progress being made by project groups with responsibility for delivering defined packages of work.

Action.

Individual Strategy groups for Carers, Dementia, Mental Health, Learning Disability, Primary Care, Dementia and Palliative Care are in the process of being set up which will report to the Strategic Planning Programme Board to the IJB's Strategic Planning Group. A generic Terms of Reference is being developed which will describe the remit of the strategy groups and how they will receive strategic priorities to work on as well as report on progress. A template will be developed for the purpose of this reporting which will ask for details on progress as well as evidence of tangible benefit to the health inequalities and early intervention and prevention agendas. Regular reports on this progress will be presented to the Strategic Planning Programme Board

4 ENGAGEMENT

- 4.1 The established Data Group for East Lothian includes all relevant personnel within the IJB, ELH&SCP and partners to develop robust joint reporting and monitoring of progress. The Strategy Groups are multi-stakeholder in membership.

5 POLICY IMPLICATIONS

- 5.1 The development of a local Health & Social Care Delivery Plan for 2018/19 will be crucial in supporting the monitoring of progress against the current Strategic Plan while we begin to give some thought to the next iteration of the Strategic Plan beyond 2019.

6 INTEGRATED IMPACT ASSESSMENT

- 6.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy

7 RESOURCE IMPLICATIONS

- 7.1 Financial – None
7.2 Personnel – None
7.3 Other – None

8 BACKGROUND PAPERS

- 8.1 Internal Audit Report (appendix1)
8.2 Data Group development of Remit and Workplan (appendix 2)

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DATE	14 February 2018

East Lothian
Integration Joint Board



REPORT TO: East Lothian IJB – Audit and Risk Committee

MEETING DATE: 12 December 2017

BY: Chief Internal Auditor

SUBJECT: Internal Audit Report – IJB Strategic Plan

1 PURPOSE

- 1.1 To inform the Audit and Risk Committee of the recently issued audit report on the IJB Strategic Plan.

2 RECOMMENDATION

- 2.1 That the Audit and Risk Committee note the contents of the Executive Summary and Action Plan.

3 BACKGROUND

- 3.1 A review of the IJB Strategic Plan was recently undertaken as part of the Audit Plan for 2017/18.
- 3.2 The objective of the audit was to ensure that the arrangements in place for the implementation of the IJB Strategic Plan were operating effectively.
- 3.3 The main findings from our audit work are outlined in the attached report.

4 POLICY IMPLICATIONS

- 4.1 None

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

6 RESOURCE IMPLICATIONS

- 6.1 Financial - None
- 6.2 Personnel - None
- 6.3 Other - None

7 BACKGROUND PAPERS

- 7.1 None

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EAST LoTHIAN IJB – INTERNAL AUDIT IJB STRATEGIC PLAN

1. EXECUTIVE SUMMARY

1.1 Introduction

As part of the Audit Plan for 2017/18, a review was undertaken of the arrangements in place for the implementation of the IJB Strategic Plan. A summary of our main findings is outlined below.

1.2 Areas where Expected Controls were Met

- The Public Bodies (Joint Working) (Scotland) Act 2014, sets out the framework for integrated adult health and social care services. The Act places a duty on the IJB to develop a Strategic Plan. The IJB's Strategic Plan 2016-2019 was approved in February 2016.
- The Strategic Plan provides the strategic direction of how health and social care services will be shaped in East Lothian. The Plan outlines the transformational changes and key actions that require to be undertaken to achieve this vision.
- A Strategic Planning Framework is in place for the management and delivery of the Strategic Plan – the Framework outlines the roles and remits of the Strategic Planning Group (SPG), the Strategic Planning Programme Board (SPPB) and specific themed project groups.

1.3 Areas with Scope for Improvement

- The monitoring and reporting arrangements in place for providing an overview to the IJB on the progress being made in implementing the priorities outlined in the Strategic Plan Implementation Programme require review. *Risk – failure to monitor progress on the implementation of the Strategic Plan.*
- The arrangements in place for preparing delivery plans and business action plans require review – there was a lack of evidence to indicate that plans were being prepared on an annual basis as set out in the Strategic Plan. *Risk – failure to outline priorities to be addressed in the coming year.*
- The Strategic Planning arrangements in place require review to ensure that roles and remits, accountability structures and governance are operating in accordance with the Strategic Planning Framework. *Risk – failure to adopt a robust and cohesive approach.*
- There had been delays in establishing project groups with responsibility for delivering defined packages of work. *Risk – failure to deliver on priorities within the agreed timescales.*
- There was a lack of arrangements in place for reviewing and refreshing the Strategic Plan. *Risk – failure to reflect current priorities.*

1.4 Summary

Our review of the IJB's Strategic Plan has identified some areas with scope for improvement. Detailed findings and recommendations are contained in our main audit report.

Mala Garden
Chief Internal Auditor

December 2017

**EAST LoTHIAN IJB – INTERNAL AUDIT
IJB STRATEGIC PLAN**

ACTION PLAN

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
3.3.1	Consideration should be given to reviewing and refreshing the Strategic Plan to ensure that it continues to be an accurate reflection of the IJB's priorities.	Medium	IJB Chief Officer	Agreed – to be part of planning for 2018/19		March 2018
3.4.1	<p>Management should ensure that appropriate monitoring and reporting arrangements are in place to provide an overview to the IJB of the progress being made in implementing the Strategic Plan Implementation Programme.</p> <p>Management should ensure that delivery plans and business action plans are prepared on an annual basis clearly outlining the priorities to be addressed in the coming year.</p>	Medium	IJB Chief Officer	<p>Agreed – update on progress to be provided to the IJB</p> <p>Agreed – Delivery Plans to be prepared</p>		<p>December 2017</p> <p>March 2018</p>
3.5.1	Management should review the Strategic Planning arrangements in place to ensure that roles and remits, accountability structures and governance are operating in accordance with the Strategic Planning Framework.	Medium	IJB Chief Officer	Agreed		February 2018

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
3.5.1 (cont)	Management should ensure that adequate arrangements are in place for the regular reporting of the progress being made by project groups with responsibility for delivering defined packages of work.	Medium	IJB Chief Officer	Agreed – updates to SPPB and reports on overall progress to the IJB on a quarterly basis		February 2018

Grading of Recommendations

In order to assist Management in using our reports, we categorise our recommendations according to their level of priority as follows:

Level	Definition
High	Recommendations which are fundamental to the system and upon which Management should take immediate action.
Medium	Recommendations which will improve the efficiency and effectiveness of the existing controls.
Low	Recommendations concerning minor issues that are not critical, but which may prevent attainment of best practice and/or operational efficiency.

Membership and development of the remit of East Lothian H&SCP Data Group

1. Membership of the group

- Bryan Davies Group Service Manager, Planning & Performance
- Paul Currie Strategic Planning & Performance Manager
- Bill Ramsay ISD / LIST team Lead
- Gordon Gray Assistant Programme manager
- Andy Jackson Assistant Director of healthcare Planning
- Philip Conaglen Public Health Consultant
- Alastair Clubb Management GP
- Mike Archibald Information Systems & Business Manager
- Graham Bell Information Systems Administrator
- David King Chief Finance Officer EL/ML IJBs.

2. Development of the Remit

The remit of the group will develop over time as was the experience of other data groups in other areas but it was agreed that the aim of this group should be to support a strategy for moving the approach from being responsive to data and information requests to developing improvement approaches for data.

3. Development of a Workplan

3.1 Initial work :

- Progressing with developing better reporting synergy involving the different data sourcing bodies and reporting times.
- Improving data quality. Audit how data is captured and input in all service areas and identify / close gaps.
- Scoping the potential for and establishing data linkages, e.g. between Chi and Mosaic. Data project needed to identify potential for marrying social work and health (patient and GP) client identifiers.

3.2 Development of IJB / Direction Reporting

The following priorities were identified as needing to be developed in relation to IJB and Direction reporting.

- Developing a robust high-level dashboard suit of data with the ability to drill down for the different reporting requirements.
- Developing a 'project approach' to monitoring progress against and the achievement of Directions.
- Developing the quarterly and annual IJB reports in order to furnish the IJB with the information it requires to see.

3.3 Operational Reporting

The following priorities were identified in relation to reporting on service performance to the Core Management team and operational managers.

- Auditing of data against each level of dashboard and being clear about the sources used.
- Developing the current reporting format in order to maximise the usefulness of the report for managers.

3.4 East Lothian Scorecard

This scorecard is currently put together for NHS Lothian by the List team. It contains familiar data, largely NHS data which is pulled from Track. It is also used for MSG monthly reporting.

Initial thoughts re the remit of this group in relation to the above scorecard could be:

- Filter down the relevant data.
- Issue to chief officers and senior managers for prior scrutiny and warning about what is being reported.
- Decide on the data relevant to EL / identified for sharing.
- Decide how best it can be used once gathered.

It was acknowledged that developing EL use of the scorecard would also help with routine data gathering and operational reporting.

3.5 Requests for information

Discussed the need to coordinate a range of requests for information that come into the Partnership from various sources including SG. These are requests for information other than FOI requests. Agreed that there is a need to:

- Log all requests for information.
- Coordinate responses.
- Identify sources used to respond.
- Store all requests received.

3.6 Audit and Clinical & Care Governance

Discussed the need for the data group to support the development of a suite of indicators for the partnership that will tell us about how we are performing in key areas of clinical and care governance in order to sufficiently report to the two high-level committees within the council and health board. This work needs to form part of the remit of the data group.