

NHS Ayrshire & Arran



Meeting:	Ayrshire and Arran NHS Board
Meeting date:	Monday 23 May 2022
Title:	Corporate Governance Learning and Improvement Plan
Responsible Director:	Claire Burden, Chief Executive
Report Author:	Shona McCulloch, Head of Corporate Governance

1. Purpose

This is presented to the Committee for:

- Awareness

This paper relates to:

- Government policy/directive

This aligns to the following NHSScotland quality ambition(s) of:

- Safe, Effective and Person Centred.

2. Report summary

2.1 Situation

This paper is presented to provide assurance to Members on the NHS Ayrshire & Arran Corporate Governance Learning and Improvement Plan. The report provides an update on actions and carry forward of the plan to 2022-23 as agreed by Integrated Governance Committee at their meeting on 9 May 2022.

2.2 Background

In February 2019 the Scottish Government circular [DL\(2019\)02](#) published the Blueprint for Good Governance and required all Health Boards to undertake a self-assessment survey against the Blueprint. The output was to inform a local Corporate Governance Improvement Plan.

The NHS Ayrshire & Arran Corporate Governance Learning and Improvement plan for 2018-2019 was developed as detailed below:

- On 2 October 2018 at a Board Development Session, Board Members supported an initial improvement plan with output from a self-evaluation of corporate governance following from reports [Corporate Governance in NHS Highland](#) and on NHS Governance from the [Health and Sport Committee](#).
- On 25 March 2019 an improvement plan developed from the Blueprint survey feedback and our earlier output from self-evaluation was supported at a Board Workshop.

- On 25 April 2019 in accordance with the Directors Letter, the Board's Governance report and Improvement Plan was submitted to Cabinet Secretary.
- On 2 December 2019 an Improvement Plan update was submitted to Scottish Government following discussions at Integrated Governance Committee on 25 November 2019.

The 2018-2019 improvement plan was closed on 8 June 2020 with actions carried forward to a 2020-2021 plan. The plans have continued to be developed annually with the aim to deliver continuous improvement.

Delivery of the NHS Ayrshire & Arran Corporate Governance Improvement plan is monitored and scrutinised by the Integrated Governance Committee. Following a recommendation from our Internal Auditor an update on the plan is provided to the NHS Board for assurance twice a year.

2.3 Assessment

On 9 May 2022 Integrated Governance Committee discussed the Corporate Governance Learning and Improvement Plan for 2021-2022 and agreed a proposal to carry forward the plan and the majority of actions to 2022-2023.

Progress with the plan in 2021-2022 was impacted by the system and partner demands in response to the COVID-19 pandemic. Of note were the doubling of parliamentary enquiries from 400 to 800 in year. However, good progress has been made on the implementation of The National Whistleblowing Standards, a priority for the Board. The corporate governance team have supported the Board in fulfilling its requirements for Whistleblowing Standards and commitments.

Appendix 1 shows the plan agreed for 2022-23 with agreed revised deadlines for delivery of actions.

Integrated Governance Committee will monitor delivery of the plan at each committee meeting.

2.3.1 Quality/patient care

Taking forward actions in the plan will ensure the quality of our governance practice which supports the effective delivery of services across the organisation.

2.3.2 Workforce

There is no impact on workforce from the improvements being progressed. Any required changes to working practice have been discussed with appropriate staff with no adverse impact noted.

2.3.3 Financial

There is no financial impact from the improvements being progressed.

2.3.4 Risk assessment/management

There has been no formal risk assessment. Not delivering on the agreed improvements would present a risk to compliance with the national Blueprint for Good Governance.

2.3.5 Equality and diversity, including health inequalities

An impact assessment is not required to support the discussions on progress. When an assessment is required to deliver areas of the improvement plan this has been completed.

2.3.6 Other impacts

- Best value - The focus on delivering outcomes to continuously improve our corporate governance arrangements and ensure compliance with the Blueprint for Good Governance strengthens the organisations corporate governance arrangements and delivers best value in all areas.
- Compliance with Corporate Objectives - The recommendations will deliver improvements to the organisation's corporate governance arrangements and system of internal control

2.3.7 Communication, involvement, engagement and consultation

Board Members were consulted on the outcomes from the self-evaluation and the improvement action plan which formed the 2018-2019 Corporate Governance improvement plan that was submitted to Scottish Government. Where required engagement takes place with Governance Committee Chairs and Executive Leads to deliver actions. In developing future plans there will be engagement with the Chief Executive and Chair and members of Integrated Governance Committee, also taking cognisance of any national work or best practice identified from engagement with other boards.

2.3.8 Route to the meeting

This has been previously considered by the following groups as part of its development. The groups have supported the content and their feedback has informed the development of the content presented in this report.

Integrated Governance committee - 9 May 2022.

2.4 Recommendation

For awareness. Members are asked to receive the update on the 2022/23 Improvement Plan and actions carried forward.

3. List of appendices

Appendix 1 – Board report on Learning and Improvement Plan 2022 - 2023

Learning and Improvement Plan 2022-2023

Board report

Actions brought forward from 2018-2019 Improvement plan

Governance system	Action Ref	Improvement action	Action owner	Timeline	Commentary
The Support – Administration arrangements	017	Progress a Protocol/Policy/ Guideline for protective marking.	Head of Corporate Governance	end October 2022	Existing national guidance and our email security guidelines are being reviewed as well as best practice from other NHS Boards. Engaging with Information Governance for advice also. A draft proposal will be progressed through the appropriate governance route for consideration and approval. Agreed revised deadline as shown.

Actions brought forward from 2020-2021 Improvement plan

The Governance system	Action Ref	Improvement action	Action owner	Timeline	Commentary
Functions - Holding to account	2020-01	To consider the content of board papers and quality of information and data provided.	Board Chair and Head of Corporate Governance	September 2022	Improvement to support Active Governance. Board annual development session on Active Governance was delivered by NES on 4 November 2021 which provided helpful guidance towards use of Data within board papers. Following this the Board Chair convened a Data Short Life Working group with the aim to recommend a set of principles and proposals to the Board Chair and Chief Executive in late Summer 2022.
Enablers – Roles, Responsibilities, Accountabilities	2020-04	Internal audit recommendation. Corporate Governance arrangements: Improved response for national annual survey on Blueprint for Good Governance	Head of Corporate Governance	Closed No longer applicable	Agreed to close this action. No date set nationally for a future national survey. An updated Blueprint for Good Governance is being developed nationally. Any future actions will be added as required.
Support – Administration	2020-07	Internal audit recommendation: Corporate Governance arrangements: identify any improvements in Board workshop scheduling	Head of Corporate Governance	April 2021 Complete	Continuous development and implementation of the Board's corporate governance system. Board Workshop schedule being developed with the Board chair. Invitations issued for agreed sessions. Will adopt a 9.30am start for morning workshops and avoid evening sessions where possible.

Appendix 1 – Corporate Governance in NHS Ayrshire & Arran – 2022-2023 plan

The Governance system	Action Ref	Improvement action	Action owner	Timeline	Commentary
Support – Administration	2020-09	Internal audit recommendation: Adherence to Controlled document policy – build additional guidance and clarity into policy at next review	Head of Corporate Governance	end October 2022	<p>Continuous development and implementation of the Board’s corporate governance system.</p> <p>A revised streamlined approach to deliver recommendations from the internal audit of our controlled documents and compliance with the organisation wide Document Policy has been agreed. This will refine the existing policy and seek comment from appropriate departments. The revised policy will focus on monitoring of controlled documents by Directorates, need for Equality Impact Assessment and clarity on responsibilities and governance approval system for controlled documents.</p> <p>Agreed revised deadline as shown.</p>

Actions brought forward from 2021-2022

The Governance system	Action Ref	Improvement action	Action owner	Timeline	Commentary
Support - Assurance information systems	2021-02	<p>Internal audit recommendations: Review work plans for governance committees and consider systems that can be used to manage these more effectively.</p> <p>Develop “governance flow mapping” for Healthcare Governance Committee</p>	Head of Corporate Governance	end August 2022	<p>Continuous development of the Board’s corporate governance system.</p> <p>Workplan action completed 2021 with agreed template for governance committee workplans showing meeting timescales.</p> <p>Development of governance flow mapping for the Healthcare Governance Committee following a recommendation from internal audit will be progressed. Will develop for other governance committees thereafter.</p> <p>Agreed revised deadline as shown.</p>
Support – Administration	2021-03	Sharing of papers and new ways of working with implementation of O365. Developing use of Teams for sharing of papers.	Head of Corporate Governance	Ongoing based on O365 migration timetable	<p>Continuous development of the board’s corporate governance system.</p> <p>Move to remote working in 2020-21 using MSTeams evidenced benefits of existing paperlite arrangements. This will be kept under review as the organisation implements O365 and changes to ways of working that will be required. It is expected that O365 will bring benefits in terms of sharing documents.</p>

Appendix 1 – Corporate Governance in NHS Ayrshire & Arran – 2022-2023 plan

Standing action items

Enablers - Skills, experience and diversity	2021-01	Non-Executive induction – continue to develop the national induction template and our local programme	Head of Corporate Governance	Standing item Ongoing	Added 2021. Continuous improvement of Non-Exec induction programme. Build on national Non-Executive induction pack to identify any gaps and improvements specific to NHS A&A through local and national feedback from Non-Executives. This will remain on the improvement plan as a standing action to deliver continuous improvement.
Functions	2022-01	Annual review of Code of Corporate Governance – our governance framework	Head of Corporate Governance	Standing item – Annually May	Added 2022. Continuous development of the Board's corporate governance system. Code of Corporate reviewed annually or as required in-year to deliver a robust and up to date corporate governance framework for NHS Ayrshire & Arran

9 May 2022 - Plan agreed by Integrated Governance Committee