

## NOT YET APPROVED AS A CORRECT RECORD

GLASGOW CITY INTEGRATION JOINT BOARD  
FINANCE AND AUDIT COMMITTEE

IJB-FAC (M) 14-06-2017

Minutes of meeting held in the Boardroom, Glasgow City HSCP,  
Commonwealth House, 32 Albion Street, Glasgow, G1 1LH  
at 3.30pm on Wednesday, 14<sup>th</sup> June 2017

<b>PRESENT:</b>	Cllr Ken Andrew	Councillor, Glasgow City Council
<b>VOTING MEMBERS</b>	Simon Carr	NHSGG&C Board Member (Chair)
	John Legg	NHSGG&C Board Member (substitute for Ross Finnie)
	Anne Marie Monaghan	NHSGG&C Board Member
<b>NON-VOTING MEMBERS</b>	Peter Millar	Independent Sector Provider Representative
	Sharon Wearing	Chief Officer, Finance and Resources
<b>IN ATTENDANCE</b>	Duncan Black	Head of Audit & Inspection, Internal Audit
	Jonny Bryden	Head of Finance
	Jim Charlton	Principal Officer, Rights and Enquiries
	Allison Eccles	Head of Business Development
	Duncan Goldie	Performance Planning Manager
	Christina Heuston	Head of Corporate Services
	Emma Keggans	Audit Scotland
	Julie Kirkland	Senior Officer (Governance Support)
	Ian Lochhead	Audit Scotland
	Sheena Morrison	Head of Public Protection and Quality Assurance
	Stephen O'Hagan	Audit Scotland
	Sheena Walker	Governance Support Officer (Minutes)
<b>APOLOGIES</b>	Bailie Ade Aibinu	Councillor, Glasgow City Council
	Ross Finnie	NHSGG&C Board Member

**1. DECLARATIONS OF INTEREST**

No declarations of interests were raised.

**2. APOLOGIES**

Apologies for absence were noted as above.

**3. MINUTES**

The minutes of the meeting held on 22<sup>nd</sup> February 2017 were approved as a correct record.

**4. MATTERS ARISING**

The rolling action list requested at the February meeting had now been produced and was included on the agenda.

**ACTION**

## 5. ROLLING ACTION LIST

Allison Eccles presented the rolling action list to the IJB Finance and Audit Committee advising that of the three actions listed two were now closed and the action for Internal Audit would be presented at the September meeting.

## 6. AUDIT SCOTLAND – GLASGOW CITY INTEGRATION JOINT BOARD ANNUAL AUDIT PLAN 2016/17

Stephen O'Hagan presented the Glasgow City Integration Joint Board Annual Audit Plan 2016/17 to the IJB Finance and Audit Committee. Stephen advised that the Plan outlined the risks and planned audit work for the year; and also the audit scope and timing. There were a few risks identified and planned assurances and actions detailed for these. The financial statement audit would commence imminently.

## 7. INTERNAL AUDIT REPORTS

Duncan Black presented to the IJB Finance and Audit Committee the main findings of the Financial Management and Governance audit reports, together with a summary of action taken.

Duncan advised that in relation to the review of the financial management report the opinion was of reasonable assurance and two recommendations were outlined. The recommendations would be added to the log of previous recommendations and when timescales for implementation dates had passed an updated report would be presented to the Committee.

Duncan Black

Duncan reported that there were no major issues identified from the governance arrangements review; recommendations were provided in relation to the risk register and ensuring that changes to the register were highlighted in reports. There was also a recommendation regarding the revised information sharing protocols and this was due for completion in September.

Councillor Andrew questioned if timescales for the revised protocol would be achieved. Sharon Wearing advised that no issues were foreseen for timescales but would be dependent on the assistance of the Officer who was an expert within that area.

### ***The IJB Finance and Audit Committee:***

- a) noted the content of the reports; and***
- b) instructed the Chief Internal Auditor to provide follow up reports showing progress towards achievement of the Action Plans arising from the audits undertaken.***

## 8. INTERNAL AUDIT – ASSURANCE MAP

Duncan Black presented to the IJB Finance and Audit Committee an Assurance Map.

Duncan advised that as part of the 2016/17 Internal Audit Plan a review of the assurance of activities was carried out and the assurance map produced. Duncan explained that the level of assurance was applied against three lines of defence as outlined at section 1.4 of the report. The main findings showed that

there was significant level of assurance across the three areas. There were several high level risks facing Social Work Services and information on Health risks would be included as the assurance map evolved.

Councillor Andrew reported that he was pleased with the significant level of assurance outlined across current assurance activity.

***The IJB Finance and Audit Committee:***

***a) noted the contents of the Assurance Map.***

**9. INTERNAL AUDIT PLAN 2017/18**

Duncan Black presented to the IJB Finance and Audit Committee the Internal Audit plan for 2017/18 for the Glasgow City Integration Joint Board.

Duncan advised that the draft plan had been presented to the IJB Finance and Audit Committee in February for feedback and comments and that there had been no significant changes. Duncan explained that the areas for audit had been identified through discussions with managers, looking at previous audit work, risk registers, views of committee members and changes internal and external to the organisation.

***The IJB Finance and Audit Committee:***

***a) approved the implementation of the Internal Audit plan for 2017/18.***

**10. INTERNAL AUDIT – ANNUAL REPORT 2016/17**

Duncan Black presented to the IJB Finance and Audit Committee the Chief Internal Auditor's Annual Report for 2016/17.

Duncan informed members that there was a requirement through The Local Authority Accounts (Scotland) Regulations 2014 to produce an annual governance statement; and an audit function to be in place, to provide an opinion on the effectiveness of the internal control environment and assess work annually to inform the governance statement.

Duncan advised that the statement reported that the IJB complied with internal audit standards based on the audit plan and performance against internal assessment and Audit Scotland review work. The resource required to complete the review work was available and the plan for 2016/17 was complete.

Section 2 of the report showed that there were no unsatisfactory audit opinions issued. There was uncertainty over the IJB's budget for 2017/18 due to the decision at the March IJB to not accept the NHS Greater Glasgow and Clyde allocated budget. It was also acknowledged that there were no significant issues to the IJB from the Council's or NHS Greater Glasgow and Clyde's 2016/17 Annual Governance Statement.

Section 4 of the report provided an update to governance issues reported in 2015/16; one issue identified was in relation to the Council and the unsatisfactory opinion regarding data recovery but progress had been made and work was on-going.

Anne Marie Monaghan referred to the non-acceptance of the Health Board budget and questioned what negotiations had taken place regarding the share of the £7.8m savings.

Sharon Wearing advised that the first discussions had taken place on 12<sup>th</sup> June with her, David Williams and Mark Whyte and that further discussions would take place next week to try and identify a resolution for all partners.

John Legg queried if there was a potential outcome from the discussions. Sharon advised that there was nothing definitive as yet but that solutions were being explored.

Councillor Andrew referred to the recent IT issues experienced by the NHS and if this should be included in the report. Duncan explained that the report was for the period 2016/17 and that due to timing this was not included but a view would be offered on this going forward.

**Duncan Black**

Anne Marie Monaghan questioned if the Council's new Business Continuity Management Framework due to go live in June was on schedule.

Duncan confirmed that it was and that a test would take place the following week; this would be followed up and the detail brought back to the Committee.

**Duncan Black**

***The IJB Finance and Audit Committee:***

***a) noted the Chief Internal Auditor's Annual Report for 2016/17.***

**11. INTERNAL AUDIT – DRAFT ANNUAL GOVERNANCE STATEMENT**

Duncan Black presented to the IJB Finance and Audit Committee the Annual Governance Statement for the Glasgow City Integration Joint Board for 2016/17.

Duncan reported that the Annual Governance Statement for 2016/17 was for noting and to refer to the Integration Joint Board for approval on 21<sup>st</sup> June 2017 with the unaudited annual accounts. Once approved by the IJB this would then be signed off and sent to Audit Scotland.

Duncan explained that section 3 of the report provided the detail of the governance framework. It was the IJB's responsibility to review annually the effectiveness of the system.

***The IJB Finance and Audit Committee:***

***a) noted the Annual Governance Statement for 2016/17 and referred to the Integration Joint Board for approval.***

## 12. UNAUDITED ANNUAL ACCOUNTS

Sharon Wearing tabled an updated version of the Unaudited Annual Accounts to the IJB Finance and Audit Committee, informing members that there had been a few changes to the management commentary. The accounts were presented for scrutiny before going to the IJB on 21<sup>st</sup> June and then to Audit Scotland.

Sharon stated that the layout was a CIPFA framework and that this was used to give an element of consistency across IJBs. Sharon informed members that details of the reserves were outlined in the management commentary (page 5). A contingency budget was set last year in 2016/17 for anything unexpected during the year. The underspend in supported living has also contributed to the reserves for 2016/17. Of the reserves £11.8m was earmarked for specific commitments in 2017/18; this was detailed within the outturn report which would be presented to the IJB on 21<sup>st</sup> June.

Sharon reported that this was the first year of the IJB establishing reserves and it was agreed in December that this would be at 2% of the budget, which equated to approximately £20m; this was also in line with good practice and CIPFA recommendations. Sharon highlighted that there was a lot of uncertainty and change which could impact upon reserves. There were some significant challenges and savings to be made in 2017/18 going forward.

Anne Marie Monaghan referred to the surplus contingency and that this may appear to the Health Board that this could be used against the £3.6m savings.

Sharon reported that the £3.6m savings issue was a matter of principle as the unallocated savings pre dated the IJBs existence. The budget was also set in September on no further savings. Jonny Bryden added that the reserves were a one off non-recurring fund and that the amount in dispute was recurring funds.

Peter Millar asked if there was risk of the £3m underspend in supported living not being delivered.

Sharon provided an update on the position with Cordia advising that there had been a significant increase in referrals and that they should reach full capacity on the delivery of service in September.

Peter queried the number of referrals to the third and independent sector. Sharon informed Peter that she would request this information from Stephen Fitzpatrick on the proportion of total referrals to Cordia and the Third sector.

Sharon Wearing

### ***The IJB Finance and Audit Committee:***

#### ***a) considered the Unaudited Annual Accounts.***

## 13. HEALTH AND SOCIAL CARE PARTNERSHP QUARTER 4 PERFORMANCE REPORT

Sheena Morrison presented to the IJB Finance and Audit Committee criminal justice performance for Quarter 4 2016/17.

Sheena advised that in terms of the policy context for criminal justice services they were keen to reduce reoffending and be involved at an early stage and to

do this quickly and efficiently. There was an emphasis on outcome 7 of the National Health and Well-being Outcomes to keep people free from harm. Following the introduction of the Community Justice Scotland Act, one of the responsibilities was to also work with partners specifically around the criminal justice agenda, ensuring that objectives and performance were in sync.

Sheena highlighted that in relation to performance the four indicators outlined in Quarter 3 had a red status but this had improved in Quarter 4 with three reds and one green. Sheena informed members that there were a number of indicators that they did not have full control of all the elements.

An overview of performance was provided in relation to the four indicators. Current performance for indicator 1 'percentage of Community Payback Orders (CPO) unpaid work placements commenced within 7 days of sentence' was 65%; the target was 80% and national performance was 57%. Sheena advised that progress was being made to ensure that offenders were informed of reporting instructions.

There had been significant progress made for indicator 2 'percentage of Community Payback Orders with a Case Management Plan within 20 days' to 97%.

In relation to indicator 3 'percentage of CPO 3 month reviews held within timescale', Sheena explained that there was variation in performance across the localities between 64%-75% and that they were trying to ensure learning across localities and develop this.

Sheena advised that for indicator 4, 'percentage of unpaid work requirements completed within timescale' they did not have full control over this due to the nature of the client group. Strike action by Community Safety Glasgow had impacted the availability of placements and therefore effected timescales for order completion. The Glasgow average completion date was lower than that of the national average.

Sheena outlined some of the on-going challenges including; staffing levels; maintenance of consistent Court and Sheriff Clerk processes; issues with reporting of performance information on Carefirst; and the challenge of working with service users themselves to ensure compliance and efficiency.

Some proposed developments were that there would be some additional indicators and that these would be the most appropriate and evidence based. Work would also take place with partners who had a responsibility through the Criminal Justice Scotland Act to ensure effective working and that staff were placed on areas best for their skill set. There was also work around robust alternatives to prisons and the performance reporting would assist in achieving this. Arrangements would also continue across client groupings to achieve outcome 7.

Peter Millar questioned that in relation to the reporting issue of performance information not being compatible with Carefirst would it be beneficial to revisit the review of Carefirst and data to incorporate this. Sheena confirmed that staff were addressing areas so that data systems could support them and be compatible.

Peter also asked if it would be useful to see and measure performance against outcome 7, to ensure that a difference was being made to people lives and reducing the risk to the public.

Sheena explained that the performance report provided more information around public protection and risk issues, but recognised that it was a challenge to provide information that answered the question and display this. Sheena would take this back to the Senior Management Team to discuss and incorporate this in future.

Sheena Morrison

Duncan Goldie advised that the national outcomes were reported throughout the report and that the Annual Performance Report showed both quantitative and qualitative data against each of the outcomes and the report would be presented to the IJB on 21<sup>st</sup> June.

Duncan Goldie then presented to the IJB Finance and Audit Committee the Joint Performance Report for the Health and Social Care Partnership for Quarter 4 2016/17. Duncan advised that an additional column had been included which showed the change in status from Quarter 3 to Quarter 4 and the direction of travel; 12 indicators had changed status with 8 improving and 4 worsening. A high level summary of the performance was outlined and an action plan was included in the report of what actions management were undertaking to improve performance. Page 28 onwards provided more detail of the performance, the links to national indicators and outcomes and the timescales and actions for improving performance. Narrative was also provided on when improvements were expected.

Duncan informed members that as they were entering a new year and would be reporting on Quarter 1, they had asked care groups to review indicators to ensure that these were appropriate and targets realistic and to advise if new indicators were to be included. Sandyford (Sexual Health) was also included for the first time in the Quarter 4 report.

Anne Marie Monaghan questioned that in relation to carer satisfaction, what was the methodology and purpose of gathering this information and how had measuring this influenced the service.

Duncan advised that they had been working with the carer service over the past year and that the numbers of those who completed an assessment was a sample as not everyone had completed. Duncan advised that he could provide the detail beneath these.

Duncan Goldie

Peter Millar asked that in relation to the methodologies what were they trying to achieve and how do they test performance and identify if some services were better than others; and to also include this within the report.

Sharon Wearing explained that the presentations from the strategic leads were to provide more detail beneath that presented within the reports, but advised that suggestions for the report were welcomed and officers would review to identify if they could report in another way.

All

***The IJB Finance and Audit Committee:***

- a) noted the attached performance report; and***
- b) reviewed and discuss performance with the strategic lead in relation to Criminal Justice.***

**14. BI-ANNUAL COMPLAINTS REPORT (SOCIAL WORK AND HEALTH - APRIL - SEPTEMBER 2016**

Jim Charlton advised the IJB Finance and Audit Committee of activity and significant trends in complaints concerning Health and Social Care for the

period April to September 2016.

Jim advised that the purpose of the report was to monitor the performance against the complaints process, to monitor trends and to capture service improvement.

For Social Work complaints some trends had increased but performance had improved in the past two years. The levels of Social Work complaints were less than 300 and Health complaints were 1003. The volume of Health complaints were driven by prison complaints which were 942. Work was being done to reduce and manage the number of prisons complaints without restricting individual's rights.

Members discussed the volume of prison complaints and possible reasons for this; it was agreed that it would be interesting to see the report for the second half of the year and at this point establish if a separate report was required on prison complaints.

***The IJB Finance and Audit Committee:***

***a) noted the contents of this report.***

**15. NEW COMPLAINTS PROCEDURES (SOCIAL WORK AND HEALTH) FROM 1<sup>ST</sup> APRIL 2017**

Jim Charlton advised the IJB Finance and Audit Committee of mandatory new health and social work complaints processes implemented from 1<sup>st</sup> April 2017 and the steps that have been taken to ensure effective transition to those new processes within Glasgow City HSCP.

Jim explained that there were separate procedures for Social Work and Health complaints due to legal requirements. The NHS procedure had been produced by the Health Board and Jim would be developing guidance for this process for staff. The social work complaints process was produced for the HSCP and signed off by David Williams and the Scottish Public Services Ombudsman had confirmed that the procedure could be implemented.

The new processes had been implemented and were in the early stages. Jim advised that no social care complaints had been reviewed for professional decision.

Jim further advised that a report was published on 10<sup>th</sup> May by the Health and Sport Committee in to the review of prison complaints and that this would be included in the Scottish Government's two year plan which may then impact the IJB if there was a requirement to do things differently.

***The IJB Finance and Audit Committee:***

***a) noted the contents of this report.***

**16. STANDARD UNIT COSTS FOR LOCAL AUTHORITY CARE SERVICES 2017/18**

Sharon Wearing advised the IJB Finance and Audit Committee of the revision to standard unit costs in respect of residential accommodation and non-residential services provided by Social Work for older people, people with physical disability and other care groups.

Sharon reported that the Scheme of Delegation delegates to the Chief Officer to agree uplifts to services provided and the new rates were outlined within the report; in the main there was a 1% uplift.

***The IJB Finance and Audit Committee:***

***a) noted the 2017/18 standard unit costs for residential accommodation and other care services as outlined at paragraph 3.2 of this report.***

**17. ATTENDANCE MANAGEMENT**

Christina Heuston advised the IJB Finance and Audit Committee of the current absence levels across Glasgow City Health and Social Care Partnership and highlighted priorities within Attendance Management Action Plans for Social Work and Health.

Christina reported that absence levels for Social Work for Quarter 4 were 5.6% average days lost and 11.3% for the year. Absence rates for Health were 6.28% and this was also the yearly rate.

Social Work had a decrease in absence rates compared to the last two quarters; however the overall absence level for 2016/17 is higher than 2015/16. This was expected due to a sharp rise in absence at the end of the year due to respiratory illness. The yearly position was 11.3% average days lost and the target was 10.3%; however the plan this year was to bring rates in line with the target. Christina advised that for period one and two this year absence rates had begun to decrease and this was maintained.

Health absence rates were consistent at above 6% and this was maintained.

Christina informed members that the table at section 1.8 included the average cost of absence as requested at the last committee meeting. Christina explained that this was not absolute as staff were not replaced in all areas when absent, only within older people residential and day care; children residential; and homelessness residential. Officers would be reviewing cost for Health staff absence and this would be included in future reports.

**Christina  
Heuston**

Christina stated that older people residential remained the priority for tackling absence as this was the biggest cost; they would be reviewing musculoskeletal absences and reported that some progress had been made in relation to psychological related absence. The priority for Health was to review absence reporting and ensure a better system for recording reasons for absence to obtain more accurate information.

Christina further advised that they would next look at benchmarking; explaining that they had some information on this but would bring this back when they had more information.

**Christina  
Heuston**

Peter Millar referred to the absence rates due to musculoskeletal and if this could be due to moving and handling issues. Christina reported that manual handling training was provided and this had resulted in an improvement in rates.

Anne Marie Monaghan queried that in relation to mental health related absence for NHS staff what support was offered to staff as this could create additional pressures on the system for people trying to access mental health services.

Christina advised that support was offered through the Healthy Working Lives group and the main focus of this was the improvement of mental health. Social

Work were focussing on early intervention and providing direct assistance to staff and this had resulted in a reduction on absences related to mental health. There was also an investment in staff resource to alleviate stress and provide cover assistance.

Simon Carr asked for detail to be provided on staff within residential care receiving appraisals and regular supervisions with managers as this was recognised as a method of offering support to individuals.

Anne Marie Monaghan asked that the table at 1.8 for average number of employees off sick include the total employees.

**Christina  
Heuston**

**Christina  
Heuston**

***The IJB Finance and Audit Committee:***

***a) noted the content of this report.***

## **18. LOCAL CODE AND SOURCES OF ASSURANCE FOR GOVERNANCE ARRANGEMENTS**

Allison Eccles presented a paper to the IJB Finance and Audit Committee to consider a Local Code with sources of assurance for adoption by the Integration Joint Board to review and assess its governance arrangements.

The proposal and recommendation was that the Glasgow City IJB establish a Local Code of corporate governance based on CIPFA and SOLACE's Framework.

***The IJB Finance and Audit Committee:***

***a) noted the contents of this report;***

***b) considered the Local Code with sources of assurance to review and assess the Integration Joint Board's governance arrangements; and***

***c) approved the adoption of the Local Code with sources of assurance for the Integration Joint Board.***

## **19. FINAL UPDATE: AUDIT ACTION PLAN - HEALTH AND SOCIAL CARE INTEGRATION –**

Allison Eccles provided a final update on the actions taken to meet the recommendations from the December 2015 and March 2016 reports produced by Audit Scotland into Health and Social Care Integration in Scotland.

Quarterly reports had been provided on the actions and these were now complete.

***The IJB Finance and Audit Committee is asked to:***

***a) noted the progress made to address the two sets of audit recommendations.***

## **20. RISK MANAGEMENT UPDATE REPORT**

Allison Eccles provided an update to the IJB Finance and Audit Committee on the status of the Risk Registers currently being maintained within the Glasgow City Health & Social Care Partnership.

Allison advised that the report provided detail of the risks added and removed

from the registers.

***The IJB Finance and Audit Committee:***

- a) reviewed the content of this report, and;***
- b) noted the current Integration Joint Board, Social Work and Health risk registers.***

**21. NEXT MEETING**

The next meeting will be held at 9.30am on Wednesday, 6<sup>th</sup> September 2017 in the Boardroom, Commonwealth House, 32 Albion Street, Glasgow, G1 1LH

The meeting ended at 17.30pm