

**NOT YET APPROVED AS A CORRECT RECORD**

**GLASGOW CITY INTEGRATION JOINT BOARD  
FINANCE AND AUDIT COMMITTEE**

**IJB-FAC (M) 13-06-18**

Minutes of meeting held in the Boardroom, Glasgow City HSCP,  
Commonwealth House, 32 Albion Street, Glasgow, G1 1LH  
at 9.30am on Wednesday, 13<sup>th</sup> June 2018

**PRESENT:**

**VOTING MEMBERS**

Cllr Ken Andrew	Councillor, Glasgow City Council
Cllr Ade Aibinu	Councillor, Glasgow City Council
Simon Carr	NHSGG&C Board Member (Chair)
Ross Finnie	NHSGG&C Board Member
Cllr Jane Morgan	Councillor, Glasgow City Council (Vice Chair)

**NON-VOTING MEMBERS**

Margaret Hogg	Assistant Chief Officer, Finance (substitute for Sharon Wearing)
Peter Millar	Independent Sector Provider Representative

**IN ATTENDANCE**

Duncan Black	Chief Internal Auditor, Internal Audit
Sybil Canavan	Head of HR
Gary Dover	Head of Planning, Children’s Services
Allison Eccles	Head of Business Development
Duncan Goldie	Planning and Performance Manager
Christina Heuston	Head of Corporate Services
Julie Kirkland	Senior Officer (Governance Support)
Ann-Marie Rafferty	Assistant Chief Officer, Public Protection & Complex Needs
Sheena Walker	Governance Support Officer (Minutes)

**APOLOGIES**

Anne-Marie Monaghan	NHSGG&C Board Member
Sharon Wearing	Chief Officer, Finance and Resources

**1. DECLARATIONS OF INTEREST**

Peter Millar declared an interest in Item 14, Homeless Services – Update on Current Developments.

**2. APOLOGIES**

Apologies for absence were noted as above.

**3. MINUTES**

The minutes of the meeting held on 4<sup>th</sup> April 2018 were approved as an accurate record.

**ACTION**

#### **4. MATTERS ARISING**

Simon Carr informed the Committee that in relation to the discussion regarding the homelessness work plan and self-directed support reports; Simon had discussed this with David Williams and it was agreed that these items would be reinstated to the Finance and Audit Committee. The remit of all Committees would be considered at the development session in August.

Allison Eccles informed members that the action on page 4, item 8, to write to the Council's Strategic Innovation and Technology Team was complete.

#### **5. ROLLING ACTION LIST**

Allison Eccles presented the Rolling Action List advising that this was for information and noting.

#### **6. INTERNAL AUDIT – AUDIT OF STRATEGIC PLAN REVIEW ARRANGEMENTS**

Duncan Black presented to the IJB Finance and Audit Committee the main findings of the following audit report that was issued recently: Audit of Strategic Plan Review Arrangements. Based on the audit work carried out a satisfactory opinion was given and one recommendation made for an appropriate process to be established to monitor and report against the Strategic Plan and these are being adhered to.

Members sought clarity if there was a legislative requirement for members of locality planning groups to be members of the Strategic Planning Group. Officers advised that there were two structures for Locality Engagement Forums and the Strategic Planning Group; there was cross membership which included local people of particular care group representation. Officers would clarify if there was a legislative requirement.

Allison Eccles

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

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

#### **7. INTERNAL AUDIT – REVIEW OF FINANCIAL PLANNING**

Duncan Black presented to the IJB Finance and Audit Committee the main findings of the following audit report that was issued recently: Review of Financial Planning. Duncan advised that this was included in the Audit Plan due to the issues in 2016/17 in setting the annual budget; and this was reflected in the first recommendation within the action plan. The set aside budget was a national issue and subject to ongoing discussions. The second recommendation was that the IJB should develop an indicative three year budget allocation which is aligned to the strategic plan, in compliance with IRAG guidance.

Members discussed the IJB being unable to set a budget by 1<sup>st</sup> April due to timescales of receiving budget allocations and the uncertainty this created. Officers advised that they worked with partners to gather as much information as early as possible and agree some areas of the budget; the Health Board provided an indicative budget before high level assumptions. The Chair advised

that this was an issue continuously raised by Chief Finance Officers and non-executive members.

Members questioned if other IJBs experienced similar issues and if this impacted upon the audit. Duncan advised that officers would look in to this, but that others IJBs may not have this included within their Audit Plan.

Duncan Black

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

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

## **8. INTERNAL AUDIT – CHIEF INTERNAL AUDITORS ANNUAL REPORT 2017/18**

Duncan Black presented to the IJB Finance and Audit Committee the Chief Internal Auditor's Annual Report for 2017/18. The effectiveness of internal control was reviewed annually, as per regulations, and the Committee assesses the efficiency and effectiveness of the Internal Audit function. There was also the requirement of an Annual Governance Statement to be approved; and this would be included in the annual accounts. Section 1.11 of the report outlined the planned assurance work conducted in 2017/18 and audit issues were outlined at section 2. There were no unsatisfactory audit opinions issued in 2017/18 and a reasonable assurance opinion was provided for 2017/18.

Members discussed how assurance was sought that processes worked effectively to improve the lives of the population of Glasgow; and how this was evidenced. Also stating that there should be assurance that the tools used for auditing did not restrict methods of working; and that evaluation took place at the beginning of processes with policies framed in a way to evaluate.

Officers advised that they tried to capture this through the Audit Plan, the Strategic Plan; and through processes to monitor performance. Officers would discuss with management and include this in the six monthly review.

Duncan Black

The Committee also agreed that evidence for the outcomes within the Strategic Plan are reviewed; and how these are measured and reported upon.

Allison Eccles

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

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

## **9. INTERNAL AUDIT – ANNUAL GOVERNANCE STATEMENT 2017/18**

Duncan Black presented to the IJB Finance and Audit Committee the Annual Governance Statement for the Glasgow City Integration Joint Board for 2017/18. The Annual Governance Statement is included in the annual accounts and is to be considered by the Committee and then referred to the IJB on 20<sup>th</sup> June for approval with the unaudited annual accounts. These are then forwarded to External Audit and presented to the IJB in September for approval.

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

- a) noted the Annual Governance Statement for 2017/18; and***
- b) referred to the Integration Joint Board for approval.***

## 10. OUTTURN REPORT 2017-18

Margaret Hogg presented a report to provide a high level overview of the Integration Joint Board's draft outturn position for 2017/18, and to note the proposed transfer of funds to reserves to allow completion of the Integration Joint Board's accounts by the statutory deadline of 30 September 2018.

The table at section 2.2 of the report outlined the significant budget changes since Month10/Period 12. Officers reported that work continues to be progressed in relation to the set aside budget for hospital services, which was a national issue. The reserves policy based on net expenditure for 2017/18 was £23.1m; this is 2% of net expenditure as agreed by the IJB in December 2016 for the Reserves Policy. Reserves would be used to manage unanticipated pressures. The commitments made in 2017/18 which would not be complete until future years were detailed at section 4.2 of the report; and full details of proposed earmarked carry forwards were outlined at table 4.3.

Members referred to the text at 3.2 of the report that the parent bodies hold sufficient reserves; and stated that the Health Board could not hold reserves. Officers advised that the holding of reserves by the IJB can offer parent bodies a level of protection from some financial challenges. Officers advised that if the IJB was in a deficit position then reserves would be used in the first instance and if this could not be resolved then the IJB would approach partner bodies. Officers would revise the text at section 3.2 to ensure this was clearer.

Margaret  
Hogg

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

***a) noted the proposed transfer to Earmarked Reserves of £19.617m as outlined in paragraph 4.3;***

***b) noted the contents of this report; and***

***c) noted the Annual Financial Statement for 2018-19.***

## 11. UNAUDITED ANNUAL ACCOUNTS

Margaret Hogg presented to the IJB Finance and Audit Committee the Unaudited Annual Accounts for the year ended 31 March 2018. The IJB had a legal responsibility to prepare annual accounts and submit these to the external auditor by 30<sup>th</sup> June. The Annual Governance Statement would be included in the unaudited accounts and submitted to the IJB on 20<sup>th</sup> June for approval. The public had a right to inspect and object to the accounts, and public inspection would open on 29<sup>th</sup> June. The accounts and the external audit report would be presented to the Committee for consideration in September before being presented to the IJB in September for approval.

Officers explained the hosted services delivered by Glasgow and how they were reported within the accounts; the IJB has a responsibility to manage the expenditure, and the actual net expenditure and expenditure consumed by other IJBs was outlined. Officers also reported on underspend detailed on page 28 and the earmarked reserves on page 36.

Members welcomed the report and explanations provided. The accounts presented in September along with the external audit report would allow the Committee to review from a governance perspective.

Members requested that officers amend the accounts at the section on public protection on page 9, to clarify who emergency accommodation is for.

Margaret  
Hogg

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

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

## **12. HSCP PERFORMANCE MANAGEMENT ARRANGEMENTS**

Duncan Goldie presented a summary of the current Performance Management arrangements within the HSCP, the different indicators and the reports produced and where these were presented. The IJB Finance and Audit Committee received the full report every quarter; and the Core Leadership Groups and management fed back comments and timelines for improvements and actions. The exceptions report was presented to the IJB and a variations report was produced for the localities. Section 3 of the report outlined the detail of the performance indicators and where these initiated from. When the joint performance report was produced the indicators were reviewed to ensure that these were all relevant and that there was no duplication.

Officers advised that from quarter 1 of 2018/19 the report would show local indicators related to the Strategic Plan.

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

***a) noted the summary of the current HSCP performance management arrangements.***

## **13. HSCP PERFORMANCE REPORT Q4**

Duncan Goldie presented the Joint Performance Report for the Health and Social Care Partnership for Quarter 4 of 2017/18. The report format now included an exceptions section at 4.3, which provided the Committee with a summary of the exceptions and a link to each page to show the narrative and actions to improve performance. The changes in RAG status were outlined at section 4.4.

The committee expressed their thanks to officers for the improvements in the reports presentation.

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

***a) noted the attached performance report; and  
b) reviewed and discussed performance with the Strategic Lead for Primary Care.***

### **a) PRIMARY CARE PRESENTATION**

Gary Dover delivered a presentation on performance in primary care for Quarter 4 2017/18 outlining the current performance indicators, within prescribing costs, immunisation rates, and Allied Health Professionals waiting times. In relation to prescribing costs each IJB took responsibility for their own budget and there was no cost sharing arrangement. The immunisation rates were detailed and members informed that each area of the city was below the target; officers were trying to raise awareness in the need for vaccinations and to improve take up

rates. Officers were also working with MSK Physiotherapists to improve performance rates of waiting times.

The Committee was advised of the new GP contract and that this may impact upon the performance framework in future reports, as there was the potential for new indicators. The IJB would be provided with an update on the Primary Care Improvement Plan on 20<sup>th</sup> June and the Plan would be presented to the IJB for approval in September. The priorities of the new GP contract were vaccination services; pharmacotherapy services; community treatment and care services; urgent care; additional professionals for multi-disciplinary teams; and Community Link Workers.

Members welcomed the presentation and discussed the new GP contract and what this would mean for the HSCP as it delivered some of the services. It was highlighted that the new contract was complex and that the Primary Care Improvement Plan would provide more detail on the implementation over a three year period.

#### **14. HOMELESSNESS SERVICES – UPDATE ON CURRENT DEVELOPMENTS**

Ann-Marie Rafferty presented a report to update the IJB Finance and Audit Committee on the publication of an interim report 'Ending Rough Sleeping in Scotland' by the Homelessness and Rough Sleeping Action Group, and outlined the main findings contained within the recent Scottish Housing Regulator (SHR) Report, published at the end of March 2018 entitled 'Housing People who are Homeless in Glasgow', the recommendations for the Health and Social Care Partnership Homelessness Service and Housing Association partners, and the Draft Action Plan submitted to the SHR in response to their report (Appendix A).

Officers advised that the HSCP was well represented on the Homeless and Rough Sleeping Action Group, and the group had contributed to the development of recommendations included in the final interim report. The report stated that Local Authorities and Public Bodies should work together to prevent homelessness; and that staff are supported through high quality training. The link to the report and recommendations was provided.

The main findings of the Scottish Housing Regulator report were outlined and the recommendations made; officers advised that the findings were not unexpected and that these were in line with the direction of travel. The HSCP had devised an action plan to the recommendations which was appended to the report; and officers had informed the Regulator that they were open to hearing examples of good practice.

The Committee welcomed the report and the positive response from officers to the recommendations from the Scottish Housing Regulator. It was agreed that a progress report on the actions would be presented to the Committee in October.

Members questioned what support would be offered from the Scottish Housing Regulator in challenging Registered Social Landlords. Officers advised that they would take forward the actions through the Housing Access Board and if there was no movement then they would take issues back to the Regulator for assistance.

Members also discussed the impact on communities when housing people with complex needs as the community was successful to the whole programme.

**Ann-Marie  
Rafferty**

Members referred to the proposal to increase the volume of Section 5 referrals from 3000 households per annum to 4000, and queried how this would be reached. Officers advised that processes were being reviewed to make these more efficient and that this would result in an increase in the number of referrals; this would be carried out initially before identifying if there was a requirement for additional resource.

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

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

***b) noted the content of the SHR Report; and***

***c) noted the draft action plan submitted to SHR at Appendix A.***

**15. ATTENDANCE MANAGEMENT**

Christina Heuston and Sybil Canavan presented a report to advise the IJB Finance and Audit Committee of Quarter 4 2017/18 absence levels across Glasgow City Health and Social Care Partnership. The absence rates for both Health and Social Work had increased since the last quarter; and there had been an increase in respiratory related illness which appeared to be a growing trend. An increase in absence was also reported in the North East for Social Work, within Children's and Older People residential; due to an increase in long-term sickness and long-term conditions. There had been an increase in musculoskeletal related absence in Social Work and an action plan was in place for early intervention.

Within Health there were still issues with non-recording of absence reasons, and work was ongoing in this area. The overall total for absence in January was 7.77%, which was the highest level reported for this staff group; this was due to an increase respiratory and flu like illness.

Officers informed members that they were reviewing and considering the financial consequence of absence; and the Committee agreed that a report on financial consequence would be presented on an annual basis.

In relation to a request previously made by the Committee to identify if there was a correlation between absence rates and supervision to support individuals; officers advised that there was no correlation, but that action had been taken to ensure that supervision plans were in place.

Members welcomed the report and discussed if there were particular trends of work related illness and the duties and obligations of the employer. Officers explained that work related stress rates were low and people who were absent with stress tended to have stress out with work and this then impacted upon work. There are action plans in place to support staff in the first few days of absence; and also actions to support staff with events over a long-term basis, for example if there was an assault or patient suicide. Officers also informed the Committee of the Health Working Lives programme which provided a number of activities for physical and mental well-being; and support was also provided through employee counselling and occupational therapy.

**C Heuston /  
S Canavan**

The Committee agreed the following actions:

- Officers would provide information on work related injuries and training to a future Committee;
- Officers should review absence rates by pay band/grade to establish if there were any trends within a particular group of staff; and
- An anonymous survey on flu vaccinations would be conducted to gather analysis if staff had the vaccination and reasons if not; a report would be presented to the Committee in September.

**C Heuston /  
S Canavan**

**C Heuston /  
S Canavan**

**C Heuston /  
S Canavan**

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

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

## **16. RISK MANAGEMENT QUARTERLY UPDATE REPORT**

Allison Eccles presented a report to provide an update to the IJB Finance and Audit Committee on the status of the risk registers being maintained within the Glasgow City Health and Social Care Partnership. The Strategic and Operations Executive Group reviewed the risk registers at the end of Quarter 4 and agreed that a workshop would take place over the summer as there had been changes to risk owners and managers; and also due to the new Council Corporate Risk Management Policy and Framework, which was appended to the report. Officers provided assurance that the registers were still reviewed and managed by the same people, but ownership had changed.

Members asked for an update on risk reference 31, CareFirst disaster recovery arrangements. Officers reported that there had been a change in IT support arrangements and discussions were taking place with CGI, the new IT provider, and detailed plans would be available in due course.

Officers advised that the annual risk register report would be presented to the Committee in September.

**Allison Eccles**

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

***a) reviewed the content of this report, and;***

***b) noted the current highest risks on the Integration Joint Board, Social Work and Health risk registers.***

## **17. NHS IN SCOTLAND 2017 – AUDIT SCOTLAND: FINAL UPDATE**

Allison Eccles presented a report to provide a final update on the actions taken to meet the recommendations from Audit Scotland's report 'NHS in Scotland 2017' where there is relevance to the Glasgow City Integration Joint Board (IJB) and Glasgow City Health and Social Care Partnership (HSCP).

The report has two parts as detailed at section 2.2; and the key audit summary findings were outlined at sections 3.2 and 3.3. The Committee was asked to note the final update and officers advised that positive responses were provided for all recommendations.



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

***a) noted the final update on progress made to address the audit recommendations as they relate to Integration Authorities/HSCPs.***

**18. NEXT MEETING**

The next meeting will be held at 9.30am on Wednesday, 5<sup>th</sup> September 2018 in the Boardroom, Commonwealth House, 32 Albion Street, Glasgow, G1 1LH

The meeting ended at 12.50pm