



Item No. 6

Meeting Date

Wednesday 13th June 2018

Glasgow City Integration Joint Board Finance and Audit Committee

Report By: Chief Internal Auditor to the Integration Joint Board

Contact: Duncan Black, Head of Audit & Inspection

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AUDIT OF STRATEGIC PLAN REVIEW ARRANGEMENTS

Purpose of Report:	To present to the IJB Finance and Audit Committee the main findings of the following audit report that was issued recently: <ul style="list-style-type: none">• Audit of Strategic Plan Review Arrangements
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Background/Engagement:	The review was undertaken as part of the agreed 2017/18 Internal Audit Plan.
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Recommendations:	The IJB Finance and Audit Committee is asked to: <ul style="list-style-type: none">a) note the content of the report.
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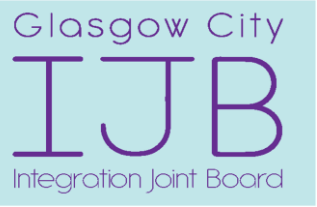
Relevance to Integration Joint Board Strategic Plan:

To provide assurance that there are arrangements in place to review, monitor and update the IJB Strategic Plan.

Implications for Health and Social Care Partnership:

Reference to National Health & Wellbeing Outcome:	None
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Personnel:	None
Carers:	None
Provider Organisations:	None
Equalities:	None
Financial:	None
Legal:	None
Economic Impact:	None
Sustainability:	None
Sustainable Procurement and Article 19:	None
Risk Implications:	None
Implications for Glasgow City Council:	The current internal auditors of the Council will continue to report to the Council on operational matters relating to Social Care services.
Implications for NHS Greater Glasgow & Clyde:	The current internal auditors of the NHSGG&C will continue to report to the NHS Board on operational matters relating to NHS services.



Glasgow City Integration Joint Board

Strategic Plan Review Arrangements

Internal Audit

April 2018

Final Report



**Glasgow City Integration Joint Board
Strategic Plan Review Arrangements**

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Glasgow City Integration Joint Board Strategic Plan Review Arrangements

1. Introduction

1.1 As part of the 2017/18 Internal Audit Plan, we have carried out an audit of the arrangements in place for the review of the Glasgow City Integration Joint Board (IJB) Strategic Plan.

1.2 The Strategic Plan for the delivery of health and social care services in Glasgow is prepared by the Glasgow City IJB under the terms of the Public Bodies (Joint Working) (Scotland) Act 2014 (hereafter referred to as the Act) which provides the legislative framework for the integration of health and social care services in Scotland. The IJB is required by the Act to produce a Strategic Plan detailing how the functions delegated to it by Glasgow City Council (GCC) and NHS Greater Glasgow and Clyde (NHSGGC) will be delivered. The Act also requires that the Strategic Plan is reviewed every three years. The purpose of the audit was to gain assurance that there are arrangements in place to review, monitor and update the IJB Strategic Plan. The scope of the audit included:

- Ensuring that an agreed process is in place for the update of the Strategic Plan;
- Reviewing the arrangements in place for the update of the Strategic Plan;
- Ensuring that all relevant stakeholders have the opportunity to feed into the process; and

- Reviewing the processes in place to monitor and report on progress being made against the Strategic Plan.

2. Audit Opinion

2.1 Based on the audit work carried out, assurance can be taken that the control environment is satisfactory and the audit has identified one recommendation which management should address.

3. Main Findings

3.1 We are pleased to report that there are effective governance processes in place relating to the scheduled review of the Strategic Plan. There are documented arrangements in place which outline the key stages, roles and responsibilities and timelines that have to be followed to ensure that the refreshed Strategic Plan will be approved by the deadline of April 2019 (as required by the Act). The planning arrangements in place outline that the IJB Public Engagement Committee will be involved in the development of a communication plan and the scrutiny process for the draft Strategic Plan in order to provide assurance to the IJB that relevant stakeholders have been appropriately consulted with.

3.2 We also found that the planned approach includes continuing to work with NHSGGC and GCC to ensure that the strategic priorities of these bodies are aligned to the IJB Strategic Plan.

3.3 The IJB prepares quarterly and annual performance reports which are presented to both the IJB Finance and Audit Committee and the Board. The quarterly reports include information on progress against the nine national health and wellbeing outcomes which are specified by the Scottish Government. However, we found an opportunity for improvement in relation to reporting on progress against the Strategic Plan objectives. The link between the performance information being reported and the Strategic Plan objectives is currently unclear.

3.4 An action plan is provided at section four outlining our observations, risks and recommendations. We have made one recommendation for improvement. The priority of the recommendation is:

Priority	Definition	Total
High	Key controls absent, not being operated as designed or could be improved. Urgent attention required.	0
Medium	Less critically important controls absent, not being operated as designed or could be improved.	0
Low	Lower level controls absent, not being operated as designed or could be improved.	1

3.5 The audit has been undertaken in accordance with the Public Sector Internal Audit Standards.

3.6 We would like to thank officers involved in this audit for their cooperation and assistance.

3.7 It is recommended that the Head of Audit and Inspection submits a further report to Committee on the implementation of the actions contained in the attached Action Plan.

4. Action Plan

Title of the Audit: Strategic Plan Review Arrangements

No.	Observation and Risk	Recommendation	Priority	Management Response
Key Control:	Appropriate processes have been established to monitor and report progress against the Strategic Plan and these are being adhered to.			
1	<p>The IJB prepares quarterly and annual performance reports which are presented to both the IJB Finance and Audit Committee and the Board. The quarterly reports include information on progress against the nine national health and wellbeing outcomes which are specified by the Scottish Government. However, the link between the performance information being reported and the Strategic Plan objectives is currently unclear and could be improved.</p> <p>This increases the risk that progress being made against the Strategic Plan objectives is not clear or understood and that appropriate action to address issues is not identified and taken forward at the earliest opportunity.</p>	Management should consider linking performance measures in the performance reports to the Strategic Plan objectives.	Low	<p>The annual performance report prepared for the IJB is based around the priorities / objectives outlined in the Strategic Plan, linking these to the National Outcomes. The framework and templates for quarterly performance reports will be reviewed to ensure due regard is paid to reporting on delivery of the IJB's priorities and objectives.</p> <p>Officer Responsible for Implementation: Head of Business Development</p> <p>Timescale for Implementation: September 2018</p>