



Item No. 6

Meeting Date Wednesday 10th October 2018

Glasgow City Integration Joint Board Finance and Audit Committee

Report By: Chief Internal Auditor to the Integration Joint Board

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INTEGRATION OF SERVICES

Purpose of Report:	To present to the IJB Finance and Audit Committee the main findings of the following audit report that was issued recently: Review of the Integration of Services
Background/Engagement:	The review was undertaken as part of the agreed Internal Audit Plan.
Recommendations:	The IJB Finance and Audit Committee is asked to: a) note the content of the report.

Relevance to Integration Joint Board Strategic Plan:

To provide assurance that there are robust arrangements in place for the integration of services within the Health and Social Care Partnership (HSCP) in order to ensure that the wider objectives of the Strategic Plan are met.

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

Integration of Services

Final Report

Internal Audit
August 2018



**Glasgow City Integration Joint Board
Integration of Services**

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FS 57095
Management System Certification

Glasgow City Integration Joint Board Integration of Services

1. Introduction

- 1.1 As part of the agreed Internal Audit Plan, we have carried out a review of the integration of services process within the Glasgow City Health and Social Care Partnership (HSCP).
- 1.2 The way in which health and social care services are planned and delivered across Scotland has changed due to the Public Bodies (Joint Working) (Scotland) Act 2014 (the 'Act'). Local Authorities and Health Boards are required by law to work together to plan and deliver adult community health and social care services. Within Glasgow, Glasgow City Council and NHS Greater Glasgow and Clyde have integrated the responsibility of all community health and social care services, including services for children, adults, older people, along with homelessness and criminal justice services. This work is led and directed by the Glasgow City Integrated Joint Board (IJB), with the Council and Health Board delivering services under the banner of the HSCP.
- 1.3 Work is now being undertaken to progress integrated service delivery where the expertise and resources of health and social care services are combined, shared, co-ordinated and planned jointly with other key partners in the third and independent sectors, with the aim of improving the quality and consistency of health and social care, advice and support services.
- 1.4 The purpose of the audit was to review the arrangements in place for the integration of specific services and provide assurances on the actions taken and on the model used to

enable lessons learned to be taken account of. The scope of the audit included:

- Reviewing the arrangements in place for the integration of services;
- Reviewing how integrated service delivery is considered in the strategic planning and budget setting process;
- Reviewing the communication arrangements that are in place with service providers and employees to support the progression of integrated service delivery;
- Ensuring that a process is in place to monitor and report on progress made on integrated service delivery;
- Ensuring that there is a process in place to identify risks; and
- Reviewing the processes in place to ensure that risks and lessons learned are considered for any future integration of service delivery being taken forward.

2. Audit Opinion

- 2.1 Based on the audit work carried out a reasonable level of assurance can be placed upon the control environment. The audit has identified some scope for improvement in the existing arrangements and three recommendations which management should address.

3. Main Findings

- 3.1 There are three service areas which are currently being reviewed in relation to the integration of services: Older People Services; Occupational Therapy and Business Administration. Each of the reviews are at a different stage of the integration process and as such, the assessment made within the audit has been based on progress made to date. We found that some of the controls are in place and are

generally operating effectively. Transformational programmes, which include the integration of services, are considered as part of the budget planning process. Where savings targets relating to these projects have been identified, they are formally documented and subsequently monitored through the Integration Transformation Board. For all three service areas, we found that arrangements are in place to capture and consider employee views and where the project had reached the appropriate stage, there was evidence to show that wider stakeholder engagement had also taken place.

3.2 We also identified some areas for improvement. We found that a formal Business Case or Project Initiation Document (PID) had not been developed for the integration of Older People Services and that a standard and consistent approach to project management had not been adopted across all three areas. The planning documentation in place does not set out the expected arrangements for capturing lessons learned, including the need to have the findings from these exercises reviewed at a strategic level. We found that there was no risk register in place to capture, monitor or report risks and mitigating actions identified in relation to the integration of both Older People Services and Occupational Therapy.

3.3 An action plan is provided at section four outlining our observations, risks and recommendations. We have made three recommendations for improvement. The priority of each 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.	2
Low	Lower level controls absent, not being operated as designed or could be improved.	1

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

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

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

4. Action Plan

Title of the Audit: Glasgow City Integration Joint Board – Integration of Services

No.	Observation and Risk	Recommendation	Priority	Management Response
Key Control: An agreed process is in place and followed for the progression of integrated service delivery.				
1	<p>A formal Business Case or Project Initiation Document (PID) was not in place for the integration of Older People services project.</p> <p>This increases the risk that the scope and risks of the project are not appropriately identified and captured as part of the project planning process.</p>	<p>Senior management should ensure that a formal Business Case or PID document is developed for all service areas that are subject to an integration of services review.</p>	Medium	<p>Agreed</p> <p>A reminder will be issued to all relevant staff and this will be implemented going forward.</p> <p>Officer Responsible for Implementation: Head of Business Development</p> <p>Timescale for Implementation: 30 September 2018</p>
2	<p>A standard approach to project management was not adopted for all service areas that had been subject to an integration of services review.</p> <p>We found that there was no risk register in place to capture, monitor or report risks and mitigating actions identified in relation to the integration of both Older People Services and Occupational Therapy.</p> <p>The project planning documentation in place did not set out the arrangements to be followed in terms of capturing lessons learned, including the need to have these reviewed at a strategic level.</p> <p>We also found that different types of authorisation processes were followed to</p>	<p>Senior management should consider adopting an agreed model for the delivery of all integration of services projects under the IJB's remit. As a minimum, key elements of good practice relating to project management should be applied in a consistent manner across all projects. This should include ensuring that:</p> <ul style="list-style-type: none"> • Risk registers are in place for all integrated service delivery projects; • The project planning documentation in place includes details of the lessons learned evaluations that should be carried out and arrangements should be put in place to ensure that the outputs from lessons learned exercises are reviewed at a strategic level; and • The appropriate level of documented 	Medium	<p>Agreed</p> <p>A reminder will be issued to all relevant staff and this will be implemented going forward.</p> <p>Officer Responsible for Implementation: Head of Business Development</p> <p>Timescale for Implementation: 30 September 2018</p>

No.	Observation and Risk	Recommendation	Priority	Management Response
	<p>commence the integration of services work in each of the areas reviewed.</p> <p>This increases the risk of inconsistency of approach and of key areas of the process being omitted from the review.</p>	<p>authorisation is obtained prior to the commencement of integrated service delivery projects.</p>		
Key Control: Progress updates on integrated service delivery are prepared and provided to the IJB Board.				
3	<p>We identified that, within the individual projects, there was a lack of consistent reporting against the overall project work plans and in some cases updates were only provided against individual work streams rather than against delivery of the overall project plan.</p> <p>This increases the risk that project reporting does not provide a strategic view on how integration of services projects are progressing.</p>	<p>Senior management should ensure that as well as monitoring work streams within projects, the progress of the overall project is monitored and reported.</p>	Low	<p>Agreed</p> <p>A reminder will be issued to all relevant staff and this will be implemented going forward.</p> <p>Officer Responsible for Implementation: Head of Business Development</p> <p>Timescale for Implementation: 30 September 2018</p>

5. Recommendations

5.1 The IJB Finance and Audit Committee is asked to:

a) Note the content of the report