



Item No. 7

Meeting Date: Wednesday 26th October 2022

Glasgow City Integration Joint Board Finance, Audit and Scrutiny Committee

Report By: Chief Internal Auditor for the Integration Joint Board
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Care Home Governance Arrangements during the COVID-19 Pandemic

Purpose of Report:	To present to the IJB Finance, Audit and Scrutiny Committee details of the internal audit work undertaken in relation to Care Home Governance Arrangements during the COVID-19 Pandemic.
Background/Engagement:	The Integrated Joint Board is required to comply with Article 7 of the Local Authority Accounts (Scotland) Regulations 2014. The regulations require a local authority to operate a professional and objective internal auditing service in accordance with recognised standards and practices in relation to internal auditing.
Governance Route:	The matters contained within this paper have been previously considered by the following group(s) as part of its development. HSCP Senior Management Team <input type="checkbox"/> Council Corporate Management Team <input type="checkbox"/> Health Board Corporate Management Team <input type="checkbox"/> Council Committee <input type="checkbox"/> Update requested by IJB <input type="checkbox"/> Other <input type="checkbox"/> Not Applicable <input checked="" type="checkbox"/>

Recommendations:	The IJB Finance, Audit and Scrutiny Committee is asked to: a) note the content of the report.
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Relevance to Integration Joint Board Strategic Plan:

To provide assurance on various aspects of the Strategic Plan.

Implications for Health and Social Care Partnership:

Reference to National Health & Wellbeing Outcome:	None
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Personnel:	None
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Carers:	None
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Provider Organisations:	None
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Equalities:	None
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Fairer Scotland Compliance:	None
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Financial:	None
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Legal:	None
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Economic Impact:	None
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Sustainability:	None
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Sustainable Procurement and Article 19:	None
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Risk Implications:	None
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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.
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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.
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Glasgow City Integration Joint Board Care Home Governance Arrangements during the COVID-19 Pandemic

1. Introduction

- 1.1 As part of the agreed Internal Audit plan we have carried out a review of the Care Home Governance Arrangements during the COVID-19 Pandemic within the Glasgow City Integration Joint Board (IJB).
- 1.2 Glasgow City Council (the Council) and NHS Greater Glasgow and Clyde (NHSGGC) are responsible for delivering services on behalf of the IJB. The Glasgow City Health and Social Care Partnership (HSCP) was formed as part of the integration of services provided by the Council and NHSGGC.
- 1.3 During the COVID-19 pandemic, the Scottish Government issued both additional and revised guidance to Local Authority, NHS and IJB Chief Executives identifying the requirement for additional whole system support to protect care home residents and staff. One such example of this is the 'Enhanced Professional Clinical and Care Oversight of Care Homes' guidance; this detailed the new and additional responsibilities on clinical and professional leads in every local authority and health board to provide daily support and oversight of the care provided in all care homes in its area.
- 1.4 In Glasgow City there are 5 HSCP care homes for older people for which the Council has direct operational responsibility (provided services) and a further 94 private sector nursing and residential care homes for older people with which the Council operates a commissioning relationship (this is where the Council procures care services from the provider). At the start of the pandemic, the Scottish

Government informed Local Authorities that they have a duty of care to ensure that all care homes, including those not directly managed by the Council, are made aware of all guidance updates being issued. We were, however, advised that the decision on what action should be taken within the care homes in response to the guidance issued is delegated to the individual care homes. For HSCP operated care homes, the action taken was consistent across the five homes.

- 1.5 The purpose of the audit was to gain assurance that, in response to Scottish Government guidance, timely action was taken, decisions were made at an appropriate level within the organisation and a robust audit trail was maintained. The scope of the audit included a review of:
- The arrangements in place to ensure that care home management were aware of the requirements resulting from revised/new guidance during the COVID-19 pandemic;
 - The additional governance arrangements put in place in response to Scottish Government guidance, the records maintained and the subsequent reporting arrangements for the decisions taken;
 - The arrangements for reporting relevant information as a result of new/revised guidance to the Board;
 - The communication arrangements for sharing information between HSCP management and the care homes; and
 - The escalation arrangements in place to manage any significant issues.
- 1.6 Although the audit included a review of the IJB's response to government guidance and legislation for care homes during the COVID-19 pandemic, it did not consider the efficacy of the decisions taken.

2. Audit Opinion

2.1 Based on the audit work carried out a satisfactory level of assurance can be placed upon the control environment.

3. Main Findings

3.1 We are pleased to report that the key controls are in place and operating effectively. Through discussion and, where available, review of documentation, we found that additional governance arrangements were adopted by the HSCP for the management and clinical oversight of all care homes in response to the “Enhanced Professional Clinical and Care Oversight of Care homes guidance that had been issued by the Scottish Government. This included:

- Establishment of the Care Home Assurance Group (CHAG), which met twice per week at the height of the pandemic (the frequency was adjusted on the basis of need and now meet on a four-weekly basis), to provide co-ordinated support to the care home sector and ensure consistency in approach across the six IJB’s that are linked with NHSGGC, including the Glasgow City IJB. CHAG approved a governance and assurance process for care homes which included the introduction of daily calls to all care homes, daily HSCP safety huddle meetings and HSCP weekly meetings.
- Daily meetings of the HSCP Executive Team, repurposed as the Service Crisis Management Team and chaired by the Chief Officer, were established to monitor issues, and facilitate discussions around the continued delivery of services during the pandemic, including those in relation to the care homes. The meeting frequency was adjusted depending on need, with the team currently meeting three times per week (previously daily meetings).
- During the height of the pandemic, the IJB Board Members received regular briefings from the Chief Officer regarding the COVID-19 response and this included any updates relevant to care homes. The Chief Officer has continued to present a COVID-19 updates to all IJB Board meetings.
- The Local Care Home and Care at Home Group was established in May 2020 to comply with the enhanced accountability arrangements required by the Scottish Government. This ensures that the Chief Officer and key HSCP senior management and officers retain clinical and professional oversight of the activity across those care homes that are directly operated by the council and those from which the Council procures care services. The group continues to meet on a weekly basis.
- In October 2020, a Care Home Operational Governance group, chaired by the Chief Nurse and attended by both HSCP and NHSGGC representatives, was established to provide a forum to develop services across Glasgow City Care homes in relation to health and social care and continues to meet on a weekly basis.
- A Care at Home Oversight Group, attended by HSCP, NHSGGC and external partners, was set up in 2021 to bring together a multi-disciplinary team, including key clinical leads and the area’s Chief Social Work Officer. This group provides support in monitoring of Care at Home and Community Nursing pressures and the implementation of solutions to address these and the associated risks.
- Multi-disciplinary Management Huddle meetings were established for care homes directly operated by the Council and for those from which the Council procures care services. They are held on a weekly basis to gather and assess evidence of concerns and risk at care homes

and, where required, report these to senior management through the Local Care Home and Care at Home Group.

- 3.2 A tracker document was introduced by HSCP management to capture details of new or updated guidance notifications being issued by third parties in relation to the governance of care homes during the COVID-19 pandemic. At the height of the pandemic, there was frequent interaction with all care homes through daily phone calls. A series of webinars, accessible to all care homes, were also put in place to provide a mechanism for discussing guidance in further detail and addressing any areas of concern or uncertainty.
- 3.3 Additional monitoring arrangements were adopted by HSCP management to assess the care homes' compliance with the guidance and adequacy of the operational arrangements in place. This was primarily through the establishment of a rolling programme of care home assessment visits which are undertaken by the practice nursing staff and overseen by the Local Care Home Group. Additional monitoring also took place through the Management Huddle meetings where risks pertaining to individual care homes would be captured and assessed using a Red Amber Green (RAG) system.
- 3.4 As at June 2022, assurance visits have been completed across all 99 care homes. Each care home has received at least two visits to date with additional reviews being conducted where required. Improvement plans are in place to record areas to be addressed and these are followed up at subsequent assurance visits to assess whether appropriate action has been taken in response to the concerns noted.
- 3.5 Arrangements are in place so that, where necessary, issues identified within care homes can be escalated to the Local Care Home Group meeting chaired by the Chief Officer and

further escalated to the Care Inspectorate and the Scottish Government if required.

- 3.6 We were informed that arrangements were in place to also share guidance updates across the care homes but, to avoid information overload, would be targeted towards the care homes to which the guidance specifically related.
- 3.7 The audit has been undertaken in accordance with the Public Sector Internal Audit Standards.
- 3.8 We would like to thank officers involved in this audit for their cooperation and assistance.