



# Item No. 7

Meeting Date: Wednesday 12<sup>th</sup> June 2019

## Glasgow City Integration Joint Board Finance, Audit and Scrutiny Committee

**Report By:** Chief Internal Auditor for the Integration Joint Board  
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### REVIEW OF PARTICIPATION AND ENGAGEMENT ARRANGEMENTS

<b>Purpose of Report:</b>	To present to the IJB Finance, Audit and Scrutiny Committee the main findings of the following audit report that was issued recently, together with a summary of action taken: <ul style="list-style-type: none"><li>• Review of participation and engagement arrangements</li></ul>
<b>Background/Engagement:</b>	The review was undertaken as part of the agreed 2018/19 Internal Audit Plan.
<b>Recommendations:</b>	The IJB Finance, Audit and Scrutiny Committee is asked to: <ul style="list-style-type: none"><li>a) note the content of the report; and</li><li>b) recommend that the Head of Audit and Inspection submits a further report to the IJB Finance, Audit and Scrutiny Committee on the implementation of the actions contained in the attached Action Plan.</li></ul>

#### Relevance to Integration Joint Board Strategic Plan:

To provide assurance on various aspects of the Strategic Plan.

## Implications for Health and Social Care Partnership:

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

Participation and engagement arrangements

**Internal Audit**

May 2019

FINAL REPORT

**Glasgow City Integration Joint Board  
Participation and engagement arrangements**

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## **Glasgow City Integration Joint Board Participation and engagement arrangements**

### **1. Introduction**

1.1 As part of the agreed Internal Audit plan we have carried out a review of the participation and engagement arrangements in place for the Glasgow City Integrated Joint Board (IJB).

1.2 The IJB is required by the Integration Scheme to produce a Participation and Engagement Strategy. This sets out the principles and approach that the Glasgow City Health and Social Care Partnership (HSCP) will take to engage with individuals, groups and communities in service planning and development for community health and social care services. The IJB Participation and Engagement Strategy was approved by the IJB Board in June 2016.

1.3 The scope of the audit was to ensure that the participation and engagement activity being undertaken is in line with the IJB Participation and Engagement Strategy. The scope of the audit included reviewing:

- Arrangements in place to support the IJB's commitment to stakeholder engagement and the delivery of the IJB Participation and Engagement Strategy;
- Plans in place to outline the participation and engagement activity to be undertaken;
- Arrangements in place to monitor the participation and engagement activity being undertaken;
- Arrangements in place to identify and report any concerns around the delivery of the participation and engagement strategy and to take corrective action where necessary;
- Arrangements in place to capture outcomes from stakeholder engagement and consider these as part of the

development of IJB organisational plans and strategies;

- Arrangements in place to participate in benchmarking activities, and to review and update participation and engagement plans following the identification of suggested best practice or lessons learned; and
- Arrangements in place to communicate progress being made against the participation and engagement strategy to the IJB.

### **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 We are pleased to report that the key controls are in place and generally operating effectively. The Participation and Engagement Strategy in place sets out the overarching processes that will be followed for participation and engagement activity undertaken on behalf of the IJB. Arrangements were found to have been put in place to support the IJB's commitment to stakeholder engagement, primarily through the establishment of the Public Engagement Committee and the local engagement forums. Out-with these consultation forums, the decision on how to consult and who with will be the responsibility of the service area concerned, however, best practice consultation guidelines have been developed and made available to officers to provide further assistance. For a sample of consultation activities reviewed, we found evidence to demonstrate that consultation plans had been developed and approved and that arrangements

were in place to capture outcomes from stakeholder engagement and consider these as part of the development of IJB organisational plans and strategies, and that feedback had been provided to participants in line with the consultation guidelines. We also found that arrangements are in place to allow any issues in relation to participation and engagement activity to be raised with the Board.

3.2 However we also identified some areas for improvement. Arrangements are not in place to formally capture and monitor all consultation activity being undertaken across the Health and Social Care partnership. We also found that formal reporting in relation to the Participation and Engagement Strategy has not been put in place. The consultation guidelines in place do not set out the arrangements to be followed where the planned engagement activity is likely to materially change. Although we found that the consultation guidelines recommend that the consultation activity should be subject to a process of evaluation, for a sample of consultations reviewed, evidence was not in place to show that this had been completed in all cases. We also found that formal benchmarking arrangements were not in place.

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.	1
Low	Lower level controls absent, not being operated as designed or could be improved.	2

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, Audit and Scrutiny 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 – participation and engagement arrangements

No.	Observation and Risk	Recommendation	Priority	Management Response
<b>Key Control:</b> There are clear plans in place which outline participation and engagement activity to be undertaken. Monitoring arrangements are in place to ensure that participation and engagement activity is being undertaken as planned				
1	<p>The Participation and Engagement Strategy, developed in 2016, includes an action plan which sets out the arrangements under which it will be delivered. However, we found that there are no formal arrangements in place to monitor and report on the progress being made.</p> <p>We also found that overarching plans are not in place to formally capture and monitor all participation and engagement activity being planned and undertaken across the HSCP.</p> <p>This increases the risk that there is not a clear oversight of consultation activity and that any issues in relation to the delivery of the Participation and Engagement Strategy are not identified.</p>	<p>Management should review the current arrangements and ensure that appropriate monitoring and reporting arrangements are put in place to provide assurance that the Participation and Engagement Strategy is being delivered as expected.</p> <p>As the strategy has now been in place for three years, consideration should also be given to whether the strategy should be reviewed and, if required, updated.</p>	<b>Medium</b>	<p><b>Response:</b></p> <p>Accepted</p> <p>An update on the delivery of the Participation and Engagement Strategy's Action Plan will be reported to the IJB Public Engagement Committee in August 2019 as part of a report outlining a review of the Strategy, which will consider how assurance can be given on delivery of the strategy. The IJB Public Engagement Committee will continue to receive updates on consultation and engagement activity within localities.</p> <p>Management will consider the feasibility of developing and maintaining a record of consultation activity across the HSCP for known consultation exercises.</p> <p><b>Officer Responsible for Implementation:</b></p> <p>Head of Business Development and</p>

				<p>Locality Heads of Planning</p> <p><b>Timescale for Implementation:</b></p> <p>Review of the Strategy to be concluded by June 2020</p>
2	<p>Consultation guidelines have been developed to provide a framework for officers undertaking consultation activity. However, we found that the guidelines in place do not set out the arrangements that should be followed where the planned engagement activity changes (for example, number or nature of participants being consulted or nature or type of consultation).</p> <p>This increases the risk that any material changes in consultation activity are not identified and subject to approval.</p>	<p>Management should review and update the current guidelines in place to reflect the process to be followed, where the objectives of the planned engagement and participation activity is subject to a material change.</p>	<b>Low</b>	<p><b>Response:</b></p> <p>Accepted</p> <p>The Consultation Guidelines will be updated to reflect the recommendation</p> <p><b>Officer Responsible for Implementation:</b></p> <p>Head of Business Development</p> <p><b>Timescale for Implementation:</b></p> <p>July 2019</p>
<p><b>Key Control:</b> Arrangements are in place to participate in benchmarking activities, and to review and update participation and engagement plans following the identification of suggested best practice and lessons learned.</p>				
3	<p>The consultation guidelines recommend that a process of evaluation of participation and engagement activity is undertaken as part of the consultation process. However, for a sample of consultations reviewed, an evaluation of the consultation process undertaken had not been completed in all cases.</p> <p>We also found that formal benchmarking arrangements were not in place to compare engagement activity with other IJBs.</p>	<p>Management should remind officers that consultation activity should be subject to a process of evaluation in line with the consultation guidelines.</p> <p>Management should explore opportunities to participate in formal benchmarking with other IJB's in order to help identify and share best practice.</p>	<b>Low</b>	<p><b>Response:</b></p> <p>Accepted</p> <p>Management will communicate to all HSCP staff to remind them of the HSCP Consultation Guidelines, and as part of this they should consider evaluation of any consultation activity they undertake.</p> <p>Management will explore, as part of the review of the Participation and Engagement Strategy, how best</p>



	<p>This increases the risk that appropriate arrangements are not in place to identify potential improvements or share best practice in relation to consultation activities.</p>		<p>practice for consultation and engagement activity can be shared</p> <p><b>Officer Responsible for Implementation:</b></p> <p>Head of Business Development and Locality Heads of Planning</p> <p><b>Timescale for Implementation:</b></p> <p>Review of the Strategy to be concluded by June 2020</p> <p>Communication to staff by end of July 2019</p>
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