



**Item No. 7**

**Meeting Date**

**Wednesday 14<sup>th</sup> December 2022**

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

**Report By:** Chief Internal Auditor for the Integration Joint Board

**Contact:** Duncan Black

**Phone:** 0141 287 4053

**Succession and Workforce Planning**

**Purpose of Report:**

To present to the Glasgow City Integration Joint Board Finance, Audit and Scrutiny Committee details of the internal audit work undertaken in relation to Succession and Workforce Planning.

**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 ☐  
Council Corporate Management Team ☐  
Health Board Corporate Management Team ☐  
Council Committee ☐  
Update requested by IJB ☐  
Other ☐  
Not Applicable ☒

**Recommendations:**

The IJB Finance, Audit and Scrutiny Committee is asked to:

- a) note the content of the report; and  
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 action contained in the attached Action Plan.
--	---

<b>Relevance to Integration Joint Board Strategic Plan:</b>
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>	n/a
--	-----

<b>Personnel:</b>	Succession and Workforce planning implications
-------------------	--

<b>Carers:</b>	There are no direct implications for carers as a result of the content of this paper.
----------------	---

<b>Provider Organisations:</b>	There are no direct implications for provider organisations as a result of the content of this paper.
--------------------------------	---

<b>Equalities:</b>	n/a
--------------------	-----

<b>Fairer Scotland Compliance:</b>	n/a
------------------------------------	-----

<b>Financial:</b>	There are no direct financial implications as a result of the content of this paper.
-------------------	--

<b>Legal:</b>	<p>The IJB will be compliant with:</p> <ul style="list-style-type: none"> <li>- The Integrated Resource Advisory Group guidance in relation to audit provision.</li> <li>- The Local Authority Accounts (Scotland) Regulations 2014.</li> </ul>
---------------	---

<b>Economic Impact:</b>	There is no direct wider economic impact within the city as a result of this report.
-------------------------	--

<b>Sustainability:</b>	There are no direct sustainability implications as a result of the content of this paper.
------------------------	---

<b>Sustainable Procurement and Article 19:</b>	There are no direct sustainable procurement and Article 19 implications as a result of the content of this paper.
--	---

<b>Risk Implications:</b>	Internal Audit facilitates the reduction of risks identified during the audit process.
---------------------------	--

<b>Implications for Glasgow City Council:</b>	The Internal Auditors of Glasgow City 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 Internal Auditors of the NHSGG&C will continue to report to the NHS Board on operational matters relating to NHS services.
--	--

# 1 Introduction

- 1.1 As part of the agreed Internal Audit plan, we have carried out a review of succession and workforce planning arrangements which may impact delivery of the Glasgow City Integration Joint Board (IJB) Strategic Plan.
- 1.2 Employee turnover, whether through retirement or opportunities elsewhere, can impact the ability to effectively deliver services and achieve strategic aims. Also, where large numbers of employees are in a similar age bracket and eligible to retire, there is a concern that not enough qualified or available workers will be ready to replace them which increases the risk of disruption and uncertainty around service delivery and the achievement of objectives.
- 1.3 Succession planning involves an integrated, systematic approach to identify, develop and retain/recruit talent for key positions and areas. Whereas workforce planning is concerned with the quantity and skills of the workforce as a whole. Efficient and effective succession and workforce planning is imperative to service delivery and addressing changes that occur.
- 1.4 The IJB is required by the Scottish Government (SG) to develop and publish a workforce plan which sets out the strategic direction for workforce development, service redesign and the resulting changes to the workforce. A National Workforce Strategy, published by the SG in 2022 sets out the ambition for post COVID-19 recovery, growth and transformation of the Health and Social Care workforce alongside the Health and Social Care Staffing Act 2019, which aims to ensure staffing levels are appropriate to deliver high quality of care to meet the needs of patients, service users and residents.
- 1.5 The Staff from both Glasgow City Council (GCC) Social Work Services (SWS) and NHS Greater Glasgow and Clyde (NHSGGC) are engaged by the Glasgow City Health and Social Care Partnership (HSCP) to deliver services on behalf of the IJB.
- 1.6 The purpose of the audit was to provide assurance that there are robust succession and workforce planning arrangements in place. The scope of the audit included:
- Reviewing the arrangements to link succession and workforce planning needs with the strategic planning process.
  - Confirming that analysis of the workforce profile and future workforce needs, including skills gaps, has been undertaken and is being incorporated into workforce and succession planning arrangements.
  - Ensuring that strategies and plans are in place to address current and/or anticipated gaps in the workforce.
  - Ensuring that there are action plans to implement the succession and workforce planning strategies.
  - Reviewing the monitoring and scrutiny arrangements for the agreed strategies and action plans.

## 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 [one recommendation](#) which management should address.

## 3 Main Findings

- 3.1 Workforce planning is one of the strategic priorities for the IJB and its first Workforce Plan was published in 2017; this has subsequently been reviewed and updated to reflect the evolving challenges and strategic priorities of the IJB. A new Workforce Plan, for the period 2022 to 2025 was prepared in draft and submitted to the IJB Board for draft approval prior to submission to SG for comment/agreement. The draft Workforce Plan was returned from SG in September 2022 and was presented to the IJB Board on 30 November 2022 for final review and approval.
- 3.2 To inform the Workforce Plan, modelling and analysis was undertaken across all service areas to provide details of current and/or anticipated workforce challenges that do, or may, impact on the delivery of services. To complement this, analysis focusing on anticipated levels of turnover and necessary recruitment was undertaken by the HSCP's colleagues in Human Resources.
- 3.3 We found that risks associated with workforce and succession planning are identified on the risk registers for the IJB, SWS and NHSGGC, which are scrutinised by senior management and included within quarterly monitoring information presented to the IJB Finance, Audit and Scrutiny Committee.
- 3.4 We were advised that one such risk relates to the significant staffing pressures being experienced across Health and Social Care Services. There is difficulty in employing both permanent and agency staff to fill staffing gaps and overtime is having to be utilised to help maintain the delivery of services. The intention is for the Workforce Plan to help management address this risk and reduce pressure on current staff.
- 3.5 An action plan setting out how the Workforce Plan will be delivered is being presented alongside the final version of the Workforce Plan to the IJB Board and that monitoring of both is due to commence following final Board approval. Periodic updates on progress will be reported to the IJB Board.

- 3.6 However, our audit testing found that there are some areas of non-compliance. A Workforce Board (WFB), comprising of HSCP senior management, was established to oversee the workforce planning process and determine any necessary future updates or changes to the Workforce Plan. The WFB is supported by a subgroup which has responsibility for identifying workforce challenges and to ensure that key risks are reported back to the main group to facilitate discussion and decision making around workforce planning.
- 3.7 However, we also identified an opportunity for improvement in the current arrangements. Succession planning arrangements have not been formalised and development opportunities for staff are not centrally co-ordinated or monitored to ensure that they are aligned to the priorities of the Workforce Plan.

- 3.8 An action plan is provided at section four outlining our observations, risks and recommendations. We have made one recommendation for improvement. The priority 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.	0
Service Improvement	Opportunities for business improvement and/or efficiencies have been identified.	0

- 3.9 The audit has been undertaken in accordance with the Public Sector Internal Audit Standards.
- 3.10 We would like to thank officers involved in this audit for their cooperation and assistance.
- 3.11 It is recommended that the Chief Internal Auditor submits a further report to Committee on the implementation of the actions contained in the attached Action Plan.

## 4 Action Plan

No.	Observation and Risk	Recommendation	Priority	Management Response
<b>Key Control:</b> A succession planning strategy and implementation plan has been developed, approved and is subject to regular monitoring and review.				
1	<p>We found that a Succession Strategy and Plan are not in place. In 2020, management agreed to set up a succession planning group to take forward the development of a succession plan for the IJB. A talent and succession group (TSG), involving officers from across the HSCP, was established in 2021 to support the succession planning process and have oversight of development opportunities across all service areas. We found that the Terms of Reference for the group is still in draft format, and meetings did not take place between February and November 2022; management advised this was because of competing priorities.</p> <p>Prior to February 2022 the TSG developed an action plan to support the development of the succession plan, however, this has not progressed or been subject to any monitoring or update.</p> <p>This increases the risk that internal staff are not provided with sufficient development opportunities and ability to gain the experiences needed to progress into other or more senior roles.</p>	<p>Management should ensure that a succession strategy and plan is formally developed and approved.</p> <p>To facilitate this management should also:</p> <ul style="list-style-type: none"> <li>• Finalise and agree the Terms of Reference for the TSG;</li> <li>• Ensure that TSG meetings are held regularly; and</li> <li>• Ensure that arrangements are put in place to capture development opportunities being undertaken across all service areas and that this information is available to the TSG.</li> </ul>	Medium	<p><b>Response:</b> Accepted.</p> <p>The Succession Planning group (TSG) met on 4 November 2022 and continues to progress activity around Succession Planning. The IJB approved the HSCP workforce plan and activities therein are closely aligned with the Succession Planning activity. With the approval of the WF Plan, this is the optimum opportunity to review the TSG's ToR, and this will be completed in early 2023. We will also ensure that a Succession Planning Strategy / Framework is finalised and agreed, as well as implementing a framework / register to identify and monitor cross HSCP training / development opportunities.</p> <p><b>Officer Responsible for Implementation:</b> Assistant Chief Officer (Public Protection and Complex Needs); and Assistant Chief Officer – Human Resources</p> <p><b>Timescales for Implementation:</b> 30 June 2023</p>