



Item No. 9

Meeting Date

Wednesday 7th February 2018

Glasgow City Integration Joint Board Finance and Audit Committee

Report By: Chief Internal Auditor for the Integration Joint Board

Contact: Duncan Black

Tel: 0141 287 4053

REVIEW OF COMPLIANCE WITH THE INTEGRATION SCHEME

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 Compliance with the Integration Scheme

Background/Engagement:

The review was undertaken as part of the agreed 2017/18 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 on compliance with the Integration Scheme.

Implications for Health and Social Care Partnership:

Reference to National Health & Wellbeing Outcome:	None
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

Compliance with the Integration Scheme

Internal Audit
January 2018

Final Report



ISO 9001: 2008



**Glasgow City Integration Joint Board
Compliance with the Integration Scheme**

Table of Contents

1	Introduction
2	Audit Opinion
3	Main Findings

Glasgow City Integration Joint Board Compliance with the Integration Scheme

1. Introduction

- 1.1 As part of the 2017/18 Internal Audit plan, we have carried out an Internal Audit review of the operating arrangements in place within the Glasgow City Integration Board (IJB) to determine the IJB's compliance with the Integration Scheme (IS).
- 1.2 The IS sets out the integration arrangements adopted by NHS Greater Glasgow and Clyde (NHSGGC) and Glasgow City Council (GCC) as required by Section 7 of the Public Bodies (Joint Working) (Scotland) Act 2014. The Integration Scheme is the binding agreement between NHSGGC and GCC on the arrangements for integration and how processes should be operated under the Integrated Joint Board (IJB). The final copy of the IS was submitted to Scottish Government and approved by the Cabinet Secretary in December 2015.
- 1.3 The scope of the audit included selecting a sample of 18 operational requirements set out in the IS and seeking supporting evidence to confirm compliance across the following areas:
- Local operational delivery arrangements;
 - Clinical and care governance;
 - Finance;
 - Participation and engagement;
 - Information sharing and data handling; and
 - Complaints.

2. Audit Opinion

- 2.1 Based on the audit work carried out, assurance can be taken that the control environment is satisfactory.

3. Main Findings

- 3.1 Based on the sample of responses received for the 18 areas selected for review, we found that the operating arrangements were place were in line with the requirements of the IS.
- 3.2 Targets and measures in relation to local operational delivery arrangements are monitored through the ongoing review of performance against the objectives outlined within the Strategic Plan. A report was presented to the IJB Board in November 2017 which included the findings from a mid-year assessment against the expectations outlined within the Strategic Plan.
- 3.3 We also found that a Clinical and Professional Governance Group has been set up which will be the main vehicle for reviewing and ensuring the effectiveness of clinical and professional governance arrangements within the IJB and for the dissemination of information to the GCC NHSGGC. From review of the scope and remit of this group we found that elements of the IS relating to local operational delivery arrangements and clinical care governance are being complied with.
- 3.4 The IS outlines that business cases should be developed for any planned investment or change in use of assets for consideration by the GCC and NHSGCC. We found that a business case was in the process of being drafted for a planned IJB investment.

- 3.5 A Participation and Engagement Strategy has been approved by the IJB board in line with the timescales specified in the IS.
- 3.6 The IS requires that an Information Sharing Protocol (ISP) is reviewed annually. We carried out a governance review as part of the 2016/17 Audit Plan and found that an ISP had not yet been put in place. The recommendation was due to be implemented in September 2017 and whilst some progress has been made, the ISP has not been finalised and agreed. We will continue to monitor progress with this as part of planned follow-up audit work and as such we have not made an additional recommendation.
- 3.7 The IJB has developed a complaints procedure which outlines the role of the IJB Chief Officer in relation to complaints. In addition, GCC and NHSGCC have two distinct statutory complaints procedures in place and complaints statistics are reported to the IJB Board through performance update reports.
- 3.8 The audit has been undertaken in accordance with the Public Sector Internal Audit Standards.
- 3.9 We would like to thank officers involved in this audit for their cooperation and assistance.
- 3.10 It is recommended that Committee notes the content of this report.