



Item No. 6

Meeting Date Wednesday 19th April 2023

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

Report By: Chief Internal Auditor for the Integration Joint Board

Contact: Duncan Black

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Internal Audit Assurance report – Compliance with Human Resources Policies and Procedures

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 Human Resources Policies and Procedures.

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 Chief Internal Auditor submits a further report to the IJB Finance, Audit and Scrutiny Committee on the implementation of the action contained in the attached Action Plan.
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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:	n/a
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Personnel:	Communication of HR policies and procedures.
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Carers:	There are no direct implications for carers as a result of the content of this paper.
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Provider Organisations:	There are no direct implications for provider organisations as a result of the content of this paper.
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Equalities:	n/a
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Fairer Scotland Compliance:	n/a
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Financial:	There are no direct financial implications as a result of the content of this paper.
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Legal:	The IJB will be compliant with: <ul style="list-style-type: none"> - The Integrated Resource Advisory Group guidance in relation to audit provision. - The Local Authority Accounts (Scotland) Regulations 2014.
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Economic Impact:	There is no direct wider economic impact within the city as a result of this report.
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Sustainability:	There are no direct sustainability implications as a result of the content of this paper.
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Sustainable Procurement and Article 19:	There are no direct sustainable procurement and Article 19 implications as a result of the content of this paper.
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Risk Implications:	Internal Audit facilitates the reduction of risks identified during the audit process.
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Implications for Glasgow City Council:	The Internal Auditors of Glasgow City 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 Internal Auditors of the NHSGGC will continue to report to the NHS Board on operational matters relating to NHS services.
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1 Introduction

- 1.1 As part of the agreed Internal Audit plan, we have carried out a review of arrangements in place to support compliance with Human Resources (HR) policies and procedures by staff and managers.
- 1.2 The Glasgow City Integration Joint Board (IJB) directs the Glasgow City Health and Social Care Partnership (HSCP) to deliver all of Glasgow's community health and social care services. The HSCP comprises staff from both Glasgow City Council (GCC) and NHS Greater Glasgow and Clyde (NHSGGC).
- 1.3 Policies and procedures are essential to ensure employee wellbeing and the normal functioning of operations. As such, they need to be clear and readily available to all relevant staff. Where required, additional support should be offered to staff to ensure that they are aware of, and comply with, the requirements of the policies and procedures.
- 1.4 The nature of the HSCP means that staff from both GCC and NHSGGC work closely together, and this may include having a line manager from the partner organisation, rather than their own. A consequence of this is that staff in the same workplace or in an employee/manager relationship may be subject to different policies and procedures, and line managers may be required to enact policies and procedures from the other organisation (i.e., NHS line manager of GCC staff).
- 1.5 The purpose of this audit was to provide assurance to the IJB that there are robust arrangements in place to ensure that HSCP staff and managers are aware of, and operate in compliance with, the HR policies and procedures which are applicable to the individual and/or the situation. The scope of the audit included:
 - Ensuring that arrangements are in place to make staff aware of the HR policies and procedures that are relevant to their role.
 - Ensuring HR procedures in place are easily accessible by relevant members of staff and differences in the policies and procedures between the partner organisations are clear.
 - Reviewing the arrangements in place for managing workplaces with staff from both partner organisations to ensure that the correct policies and procedures are followed. Ensuring that managers are aware of the policies and procedures in place and how they relate to different members of staff.
 - Ensuring evidence is in place to demonstrate staff have been made aware of the procedures relevant to their role.

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.
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3 Main Findings

- 3.1 As the HSCP does not directly employ staff it does not have its own set of HR policies and procedures; instead, both partner organisations (GCC and NHSGGC) have its own HR policies and procedures. We found that staff are advised of the HR policies and procedures relevant to their role as part of their contract of employment and through their induction. The HR policies and procedures for each organisation are available online, through the Connect intranet site for GCC staff, or the HR Connect online portal for NHSGGC staff.
- 3.2 We were advised that all managers across the HSCP can access further support on any of the HR policies and procedures from the HR teams within either partner organisation.
- 3.3 We reviewed a sample of HR policies and procedures, including Attendance Management, Bullying & Harassment and Employee Leave, and identified some differences in the arrangements in place (for example, the criteria for requesting certain types of leave and absence management triggers). While these differences are reasonable and to be expected they do have potential to cause confusion.
- Consequently, we found that there are some opportunities for improvement in the current arrangements, particularly in workplaces where there are staff from both the partner organisations.
- 3.4 Managers may have responsibility for a member of staff from the partner organisation and will be required to enact their policies and procedures. GCC managers within the HSCP have open access to NHSGGC HR policies and procedures, however, the NHSGGC have only recently been given open access to GCC policies and procedures and the availability of this information has not been widely publicised.
- 3.5 We found that there is no HSCP manager induction or other guidance documentation to support managers in their understanding of how the HR policies and procedures differ and are applied and managed across the partner organisations. Also, a list of the core training that HSCP managers should complete has not been developed.

- 3.6 New staff are expected to complete either the GCC or NHSGGC induction, depending on their employer, which provides them with information on the HR policies and procedures relevant to their role. However, a specific HSCP induction is not currently in place to help staff understand their role within the HSCP. We have confirmed that this is already being taken forward as an action with the HSCP's Workforce Plan, therefore no recommendation has been made.
- 3.7 An action plan is provided at section four outlining our observations, risks, and recommendations. We have made one recommendation for improvement. The priority of the recommendation is:
- 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 the Chief Internal Auditor submits a further report to the IJB Finance, Audit and Scrutiny Committee on the implementation of the action contained in the attached Action Plan.

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.	0
Low	Lower-level controls absent, not being operated as designed or could be improved.	1
Service Improvement	Opportunities for business improvement and/or efficiencies have been identified.	0

4 Action Plan

No.	Observation and Risk	Recommendation	Priority	Management Response
Key Control: Managers are aware of the HR policies and procedures in place and how they relate to different members of staff.				
1	<p>GCC managers have open access to NHSGGC HR policies and procedures through the HR Connect portal. Access to the GCC policies and procedures has recently been made available to NHSGGC managers, however, this has not been widely publicised.</p> <p>We found that HSCP managers do not have access to any guidance documentation to support them in identifying and applying the correct procedure when they are managing a member of staff employed by a partner organisation. A quick reference guide is being developed to help support managers to identify the key policy differences between the partner organisations but has not yet been completed and is only planned to cover attendance management. Also, there is no HSCP manager induction or list of the core manager training that HSCP managers are expected to complete.</p> <p>This increases the risk that managers, particularly those who have moved from a single employer workplace to joint, may not be aware of, or understand, the potential differences and could lead to staff being managed under the incorrect HR policy or procedure.</p>	<p>HSCP Management should</p> <ul style="list-style-type: none"> Ensure that the link to the GCC HR policies and procedures is shared with the NHSGGC managers in the HSCP as soon as possible so that these can be accessed as required. Develop and share documented guidance to support managers in identifying and applying the correct HR policy or procedure for situations where they are managing a member of staff employed by a partner organisation. <p>HSCP management should also consider if a manager induction and/or list of core training is required to support the guidance documentation detailed above.</p>	Low	<p>Response: Accepted.</p> <p>We are satisfied with the recommendations highlighted by our Audit colleagues. We have indicated our intention to review our induction processes within Glasgow City HSCP as indicated in our HSCP Workforce Plan 2022-25 and associated action plan.</p> <p>Officer Responsible for Implementation: Assistant Chief Officer – Human Resources</p> <p>Timescales for Implementation: 31 December 2023</p>