

A meeting of the Inverclyde Integration Joint Board Audit Committee will be held on Monday 21 March 2022 at 1pm.

This meeting is by remote online access only through the videoconferencing facilities which are available to members of the Integration Joint Board Audit Committee and relevant officers. The joining details will be sent to participants prior to the meeting.

In the event of connectivity issues, participants are asked to use the *join by phone* number in the Webex invitation.

Information relating to the recording of meetings can be found at the end of this notice.

IAIN STRACHAN
Head of Legal & Democratic Services

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The papers for this meeting are on the Council's website and can be viewed/downloaded at <https://www.inverclyde.gov.uk/meetings/committees/59>

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INVERCLYDE INTEGRATION JOINT BOARD AUDIT COMMITTEE – 24 JANUARY 2022

Inverclyde Integration Joint Board Audit Committee

Monday 24 January 2022 at 1.00pm

Present:

Voting Members:

Councillor Elizabeth Robertson (Chair)	Inverclyde Council
Councillor Luciano Rebecchi	Inverclyde Council
Simon Carr (Acting Vice Chair)	Greater Glasgow & Clyde NHS Board

Non-Voting Members:

Diana McCrone	Staff Representative, Greater Glasgow & Clyde NHS Board
Stevie McLachlan	Inverclyde Housing Association Forum Representative – River Clyde Homes

Also present:

Allen Stevenson	Interim Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership
Anne Glendinning	On behalf of Sharon McAlees ,Chief Social Work Officer, Inverclyde Council
Alan Best	Interim Head of Health & Community Care, Inverclyde Health & Social Care Partnership
Craig Given	Chief Finance Officer, Inverclyde Health & Social Care Partnership
Andi Priestman	Chief Internal Auditor, Inverclyde Council
Vicky Pollock	Legal Services Manager, Inverclyde Council
Diane Sweeney	Senior Committee Officer, Inverclyde Council
Lindsay Carrick	Senior Committee Officer, Inverclyde Council
Andrina Hunter	Service Manager, Corporate Policy, Planning & Performance, Inverclyde Council

Chair: Councillor Robertson presided.

The meeting took place via video-conference.

Prior to the commencement of business the Chair advised that Ms Paula Speirs had resigned from the IJJB and IJJB Audit Committee and that Mr Simon Carr would act as Vice Chair at this meeting. The Chair acknowledged the valuable contribution Ms Speirs had made to the IJJB Audit Committee and that she would be missed.

1 Apologies, Substitutions and Declarations of Interest 1

No apologies for absence or declarations of interest were intimated.

2 Minute of Meeting of IJB Audit Committee of 20 September 2021 2

There was submitted the Minute of the Inverclyde Integration Joint Board Audit Committee of 20 September 2021. The Minute was presented by the Chair and examined for fact, omission, accuracy and clarity.

INVERCLYDE INTEGRATION JOINT BOARD AUDIT COMMITTEE – 24 JANUARY 2022

Decided: that the Minute be agreed.

3 Minute of Meeting of IJB Audit Committee of 29 November 2021 3

There was submitted the Minute of the Inverclyde Integration Joint Board Audit Committee of 29 November 2021.

The Minute was presented by the Chair and examined for fact, omission, accuracy and clarity.

Decided: that the Minute be agreed.

4 IJB Audit Committee Rolling Annual Workplan 4

There was submitted a list of rolling actions arising from previous meetings of the IJB Audit Committee.

Decided: that the Rolling Annual Workplan be noted.

5 Internal Audit Progress Report – 30 August to 17 December 2021 5

There was submitted a report by the Interim Chief Officer, Inverclyde Integration Joint Board on the progress made by Internal Audit during the period from 30 August to 17 December 2021.

The report was presented by Ms Priestman, being the regular progress report, and advised as follows:

- 1) there was one Internal Audit report finalised since the last Audit Committee meeting in September 2021;
- 2) that the Audit Plan for 2021/22 is now complete;
- 3) in relation to Internal Audit follow up, there were no actions due for completion by 30 November 2021. There are 8 actions being progressed by officers, all as detailed in appendix 1 to the report;
- 4) there have been no Internal Audit Reports relevant to the IJB reported to Inverclyde Council since the last Audit Committee meeting in September 2021;
- 5) there have been 3 Internal Audit Reports relevant to the IJB reported to NHS GGC since the Audit Committee meeting in September 2021;
- 6) Internal Audit within Inverclyde Council and NHS GGC have undertaken to follow up actions in accordance with agreed processes and will report on progress to the respective Audit Committees.

The Board sought reassurance that they would be provided with an update on the issues identified in the Internal Audit Report 'IJB Performance Management and Reporting Arrangements'(the Report), and referred to the 30 November 2022 deadline for this as noted at paragraph 5.6. Ms Priestman advised that an update would be provided. The Board enquired if the Report had been issued yet and Ms Priestman advised that it had been issued to officers and External Auditors with a summary being contained in this report. Ms Priestman advised that she would issue a copy of the Report to IJB Audit Committee Members.

The Board welcomed the recommendations detailed at paragraph 5.5 to align performance reports, commenting that the volume and spread of data could be difficult to assimilate. There was discussion on the outcome of incorporating reports, with the general consensus being that reporting will be streamlined. Ms Hunter advised that a new performance management system, Pentana, had been purchased by Inverclyde Council and Inverclyde HSCP which will assist with this.

Decided: that the progress made by Internal Audit in the period 30 August to 17 December 2021 be noted.

INVERCLYDE INTEGRATION JOINT BOARD AUDIT COMMITTEE – 24 JANUARY 2022

6 Status of External Audit Action Plans at 30 November 2021

6

There was submitted a report by the Interim Chief Officer, Inverclyde Integration Joint Board on the status of current actions from External Audit Action Plans at 30 November 2021.

The report was presented by Ms Priestman and advised as follows:

In relation to External Audit follow up, there were no actions due for completion by 30 November 2021. There are 3 actions being progressed by officers, all as detailed in appendix 1 to the report.

Decided: that the Internal Audit Annual Report and Assurance Statement 2020/2021 be approved.

7 IJB Risk Appetite Development

7

There was submitted a report by the Interim Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership providing an update on the status of the IJB Risk Appetite and its progress.

The report was presented by Mr Given and detailed the work undertaken to date by the short life working group which was set up following the recommendation of the IJB Audit Committee in June 2021 to review the IJB's approach to risk. The group agreed on three overarching risk categories: (1) Strategic, (2) Financial and (3) Reputational.

The Board enquired if there was a mechanism by which identified risks might be tested. Ms Priestman advised that a review of the new risk management arrangements could be included in the Audit Plan, and that feedback could be provided on this. The Chair requested that this be added into the process.

The Board enquired if there were plans to replace Ms Speirs on the short life working group, and Mr Stevenson advised that a replacement for Ms Speirs was actively being recruited.

Decided:

- (1) that the contents of the report be noted; and
- (2) that the testing of identified risks be included in the Audit Plan with appropriate feedback to IJB Audit Committee on this matter.

8 IJB Risk Register

There was submitted a report by the Interim Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership (1) providing an update on the status of the IJB Strategic Risk Register, and (2) appending the most recent Risk Register reviewed by officers on 16 December 2021.

The report was presented by Mr Given and noted that the Register is reviewed twice a year and advised of changes to Risk 7 (Contingency Planning), 8 (Performance Management Information) and 9 (Locality Planning) since this matter was previously reported.

The Board queried how new risks are identified and Mr Given provided an overview of the process, with Mr Stevenson advising on the checks and balances procedures before a new risk is added to the Register.

The Board referred to the appended Register and noted that within the 'Additional Controls/Mitigating Actions & Time Frames With End Dates' column there were very few either 'end dates' or 'ongoing' timescales recorded and Mr Given agreed to review this. Ms Priestman added that the new Pentana system, which has a specific risk module, will provide a more robust reporting framework.

INVERCLYDE INTEGRATION JOINT BOARD AUDIT COMMITTEE – 24 JANUARY 2022

The Board referred to the section 'Locality Planning to Better Understand the Needs of the Community' and sought clarification on the number of Locality Planning Groups (LPGs). Mr Stevenson advised on the intention for there to be 6 LPGs, and that at present 2 had been formed and had met. The 2 LPGs were scheduled to meet again in March and afterwards there would be a review of progress with the remaining LPGs commencing on a stepped basis. He further advised that 6 Communication Groups had been established. The Board asked for the remaining LPGs established and the Chair requested that an update report be provided on this matter. Mr Stevenson agreed that a report will be submitted to the IJJB when appropriate.

The Board questioned if the 'Current Controls' and 'Additional Controls' noted for item 6 (Home Care) were robust enough. Mr Best advised that recruitment of staff and service development was continually monitored, with appropriate actions taken when required.

The Board asked if there was any intention to supply staff with body cameras, and Mr Stevenson advised there were no current plans to issue staff with cameras, but there were control mechanisms in place to address any concerns that staff may have.

Decided:

- (1) that the contents of the report be noted; and
- (2) that it be remitted to officers to submit a further report on the progress of the Locality Planning Groups.

IJB Audit Committee Rolling Annual Workplan – 21 March 2022

Date	Reports	Lead Officer
21 March 2022	<p>Internal Audit Progress Report February 2022</p> <p>Status of External Audit Action Plans to 31 January 2022</p> <p>Internal Audit Annual Audit Plan 2022/23</p> <p>External Audit Annual Audit Plan 2021/22</p> <p>Best Value Annual Report</p> <p>Directions Update</p>	<p>Chief Internal Auditor</p> <p>Chief Internal Auditor</p> <p>Chief Internal Auditor</p> <p>External Audit</p> <p>Chief Finance Officer</p> <p>Legal Services Manager (Procurement, Conveyancing & Information Governance)</p>
September 2022	<p>Internal Audit Annual Report and Assurance Statement 2021/22</p> <p>Internal Audit Progress Report</p> <p>Status of External Audit Action Plans to 31 July 2022</p> <p>Directions Update</p> <p>Review of Risk Register</p>	<p>Chief Internal Auditor</p> <p>Chief Internal Auditor</p> <p>Chief Internal Auditor</p> <p>Legal Services Manager (Procurement, Conveyancing & Information Governance) <i>(Min. ref. – IJB – 21 09 2020 – 86(3))</i></p> <p>Interim Chief Officer <i>(Min. ref. - IJB AC - 21.06.2021 - 22(4))</i></p>
January 2023	<p>Internal Audit Progress Report to December 2022</p> <p>Status of External Audit Action Plans to 30 November 2022</p>	<p>Chief Internal Auditor</p> <p>Chief Internal Auditor</p>

Report To: Inverclyde Integration Joint Board Audit Committee **Date:** 21 March 2022

Report By: Interim Chief Officer
Inverclyde Integration Joint Board **Report No:** IJBA/05/2022/AP

Contact Officer: Andi Priestman **Contact No:** 01475 712251

Subject: INTERNAL AUDIT PROGRESS REPORT – 20 DECEMBER 2021 TO 25 FEBRUARY 2022

1.0 PURPOSE

- 1.1 The purpose of this report is to enable IJB Audit Committee members to monitor the performance of Internal Audit and gain an overview of the IJB's overall control environment.
- 1.2 The report also presents an update on the Internal Audit work undertaken at Inverclyde Council and NHS Greater Glasgow and Clyde (NHSGGC) between 20 December 2021 and 25 February 2022 that may have an impact upon the IJB's control environment.

2.0 SUMMARY

- 2.1 The audit plan for 2021/2022 is complete.
- 2.2 In relation to Internal Audit follow up, there were no actions due for completion by 31 January 2022. There are 8 actions being progressed by officers. The current status report is attached at Appendix 1. **Appendix 1**
- 2.3 In addition, since the last Audit Committee meeting in January 2022, Internal Audit Reports reported to Inverclyde Council and NHSGGC which are relevant to the IJB are set out at paragraphs 5.3 to 5.6 of the report.
- 2.4 Internal Audit within Inverclyde Council and NHSGGC undertake follow up of actions in accordance with agreed processes and report on progress to the respective Audit Committees.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that IJB Audit Committee members agree to note the progress made by Internal Audit in the period from 20 December 2021 to 25 February 2022.

Allen Stevenson
Interim Chief Officer Inverclyde Integration Joint Board

4.0 BACKGROUND

- 4.1 In March 2021, the Audit Committee approved the current Internal Audit Annual Plan which detailed the activity to be undertaken during 2021-22.
- 4.2 Internal Audit reports findings and action plans to relevant IJB Officers and the Audit Committee as part of the annual audit plan. A follow up process is in place to allow follow up of current internal audit actions to be co-ordinated and updated by Internal Audit on a monthly basis with regular reporting to the Audit Committee.
- 4.3 In each audit, one of 4 overall opinions is expressed:

Strong	In our opinion there is a sound system of internal controls designed to ensure that the organisation is able to achieve its objectives.
Satisfactory	In our opinion isolated areas of control weakness were identified which, whilst not systemic, put some organisation objectives at risk.
Requires improvement	In our opinion systemic and/or material control weaknesses were identified such that some organisation objectives are put at significant risk.
Unsatisfactory	In our opinion the control environment was considered inadequate to ensure that the organisation is able to achieve its objectives.

- 4.4 Individual audit findings are categorised as Red, Amber or Green:

Red	In our opinion the control environment is insufficient to address the risk and could impact the organisation as a whole. Corrective action must be taken and should start immediately.
Amber	In our opinion there are areas of control weakness which we consider to be individually significant but are unlikely to affect the organisation as a whole.
Green	In our opinion our audit highlighted areas for minor control improvement and/or areas of minor control weakness.

- 4.5 A summary is also provided in relation to internal audit work undertaken at Inverclyde Council and NHS Greater Glasgow and Clyde that may have an impact upon the IJB's control environment.

5.0 CURRENT POSITION

- 5.1 The audit plan for 2021/2022 is complete.
- 5.2 In relation to Internal Audit follow up, there were no actions due for completion by 31 January 2022. The current status report is attached at Appendix 1.
- 5.3 **Inverclyde Council – Internal Audit Progress Report Summary**

Since the last Audit Committee meeting in January 2022 there were no Internal Audit Reports reported to Inverclyde Council which are relevant to the IJB.

5.4 Internal Audit undertakes follow up work on a monthly basis to confirm the implementation of agreed actions. A specific audit follow up report is provided to each meeting of the Council's Audit Committee to allow appropriate scrutiny of action plan implementation.

5.5 NHSGGC - Internal Audit Progress Report Summary

Since the last Audit Committee meeting in January 2022, there were no Internal Audit reports presented to NHSGGC Audit Committee.

5.6 Internal Audit undertakes follow up work on a quarterly basis to confirm the implementation of recommendations. The results of the follow up work are reported to the NHSGCC Audit Committee with any matters of concern being drawn to the attention of this Committee.

6.0 IMPLICATIONS

Finance

6.1 The work required to deliver the Annual Internal Audit Plan will be contained within the existing Internal Audit budget set by Inverclyde Council.

Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact	Virement From (If Applicable)	Other Comments
N/A					

Legal

6.2 There are no direct legal implications arising from this report.

Human Resources

6.3 There are no direct HR implications arising from this report.

Equalities

6.4 Has an Equality Impact Assessment been carried out?

	YES
X	NO – This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy. Therefore, no Equality Impact Assessment is required.

How does this report address our Equality Outcomes?

Equalities Outcome	Implications
People, including individuals from the above protected characteristic groups, can access HSCP services.	None
Discrimination faced by people covered by the protected characteristics across HSCP services is reduced if not eliminated.	None
People with protected characteristics feel safe within their communities.	None
People with protected characteristics feel included in the planning and developing of services.	None
HSCP staff understand the needs of people with different protected characteristic and promote diversity in the work that they do.	None
Opportunities to support Learning Disability service users experiencing gender based violence are maximised.	None
Positive attitudes towards the resettled refugee community in Inverclyde are promoted.	None

6.5 There are no direct clinical or care governance implications arising from this report.

National Wellbeing Outcomes

6.6 How does this report support delivery of the National Wellbeing Outcomes?

National Wellbeing Outcome	Implications
People are able to look after and improve their own health and wellbeing and live in good health for longer.	None
People, including those with disabilities or long term conditions or who are frail are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community	None
People who use health and social care services have positive experiences of those services, and have their dignity respected.	None
Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.	None
Health and social care services contribute to reducing health inequalities.	None
People who provide unpaid care are supported to look after their own health and wellbeing, including reducing any negative impact of their caring role on their own health and wellbeing.	None
People using health and social care services are safe from harm.	None
People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.	None

Resources are used effectively in the provision of health and social care services.	None
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7.0 DIRECTIONS

7.1	Direction Required to Council, Health Board or Both	Direction to:	
		1. No Direction Required	X
		2. Inverclyde Council	
		3. NHS Greater Glasgow & Clyde (GG&C)	
		4. Inverclyde Council and NHS GG&C	

8.0 CONSULTATIONS

8.1 N/A

9.0 LIST OF BACKGROUND PAPERS

9.1 Internal Audit Reports. Copies available from Chief Internal Auditor.

**INVERCLYDE INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS
AT 31 JANUARY 2022**

Summary: Section 1 Summary of Management Actions due for completion by 31/01/2022

There were no actions due for completion by 31 January 2022.

Section 2 Summary of Current Management Actions Plans at 31/01/2022

At 31 January 2022 there were no audit reports delayed due to management not finalising the action plan within agreed timescales.

Section 3 Current Management Actions at 31/01/2022

At 31 January 2022 there were 8 current audit action points.

Section 4 Analysis of Missed Deadlines

At 31 January 2022 there was one audit action point where the agreed deadline had been missed.

Section 5 Summary of Audit Action Points By Audit Year

**INVERCLYDE INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS**

SUMMARY OF MANAGEMENT ACTION PLANS DUE FOR COMPLETION BY 31.01.2022

SECTION 1

No. of Actions Due	No. of Actions Completed	Deadline missed Revised date set*	Deadline missed Revised date to be set*	No action proposed
0				

* These actions are included in the Analysis of Missed Deadlines – Section 4

**INVERCLYDE INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS**

SUMMARY OF CURRENT MANAGEMENT ACTIONS AS AT 31.01.2022

SECTION 2

Current Actions	
Due for completion February 2022	1
Due for completion April 2022	1
Due for completion June 2022	2
Due for completion July 2022	1
Due for completion August 2022	1
Due for completion November 2022	2
Total current actions:	8

**INVERCLYDE INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS**

CURRENT MANAGEMENT ACTIONS AS AT 31.01.2022

SECTION 3

Action	Owner	Expected Date
IJB Integration Scheme Update – Readiness Review (December 2019)		
<p>Specifying governance arrangements within the Integration Scheme (Amber)</p> <p>The Scottish Government have confirmed IJBs will be required to review their current integration schemes rather than complete a new scheme. The 6 HSCP across Greater Glasgow and Clyde will contribute to a short life working group to review collectively ensuring cross cutting issues are addressed.</p> <p>The Inverclyde HSCP has identified the appropriate officer to contribute to this work. The HSCP are also working closely with Legal Services within the Council and NHS to review our current Integration Scheme.</p>	<p>Interim Chief Officer IJB</p>	<p>31.07.2022</p>
Budgetary Control (March 2020)		
<p>Updating the Inverclyde Integration Joint Board’s (IJB) reserves strategy (Green)</p> <p>The IJB’s Chief Financial Officer will update the IJB’s reserves strategy to fully:</p> <ul style="list-style-type: none"> • reflect the terminology used within the IJB’s annual accounts regarding reserves; and • allow for the revised Integration Scheme. 	<p>Chief Financial Officer</p>	<p>31.08.2022*</p>
IJB Directions (July 2021)		
<p>Reviewing Directions issued by Inverclyde Integration Joint Board (IJB) (Green)</p> <p>The IJB’s Chief Officer will submit to the IJB an annual report on the review of IJB Directions. This report will be scheduled to allow for the timing of related IJB reports such as the progress being made with implementing the IJB’s strategic plan, annual performance report and draft annual accounts and annual governance statement.</p>	<p>Interim Chief Officer</p>	<p>30.06.2022</p>

* These actions are included in the Analysis of Missed Deadlines – Section 4

**INVERCLYDE INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS**

CURRENT MANAGEMENT ACTIONS AS AT 31.01.2022

SECTION 3

IJB Performance Management and Reporting Arrangements (July 2021)		
<p>Reporting on progress with implementing the IJB's Strategic Plan (Amber) Management will:</p> <ul style="list-style-type: none"> • Incorporate the IJB annual Strategic Plan progress update within the Annual Performance Report (APR); • Incorporate "RAG" status and reinstate appropriate related coverage of issues and risks into the annual Strategic Plan progress update. 	Head of Finance, Planning & Resources	30.06.2022
<p>Provide a mid-year (April to September) Strategic Plan progress report to IJB that includes RAG status and actions.</p>	Head of Finance, Planning & Resources	30.11.2022
<p>Update the "Health & Social Care" tab of Inverclyde Council's website to include the IJB's Strategic Plan and related documents</p>	Head of Finance, Planning & Resources	28.02.2022
<p>Produce an "easy read" document which covers the progress being made with implementing the IJB's Strategic Plan and would accompany the Annual Performance report.</p>	Head of Finance, Planning & Resources	30.06.2022
<p>Adequacy of the procedure for monitoring implementation of the IJB's Strategic Plan (Green) Management will review and update the IJB Strategic Plan Standard Operating Procedure (SOP) to incorporate all recommendations from Internal Audit.</p>	Head of Finance, Planning & Resources	30.04.2022

* These actions are included in the Analysis of Missed Deadlines – Section 4

**INVERCLYDE INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS
ANALYSIS OF MISSED DEADLINES**

SECTION 4

Report	Action	Original Date	Revised Date	Management Comments
Budgetary Control (March 2020)	<p>Updating the Inverclyde Integration Joint Board's (IJB) reserves strategy (Green)</p> <p>The IJB's Chief Financial Officer will update the IJB's reserves strategy to fully:</p> <ul style="list-style-type: none"> • reflect the terminology used within the IJB's annual accounts regarding reserves; and • allow for the revised Integration Scheme. 	<p>30.09.20 31.09.21</p>	31.08.22	<p>Postponed due to delay in revised integration Scheme GGC Board wide. Work has restarted on the schemes and aim to conclude 31 July 2022.</p>

**INVERCLYDE INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS**

SUMMARY OF ACTION PLAN POINTS BY AUDIT YEAR

SECTION 5

The following table sets out the total number of agreed actions raised by audit year together with their completion status as at 31 January 2022.

Audit Year	Total Agreed Actions	Total Actions Completed	Total Current Actions Not Yet Due*		
			Red	Amber	Green
2016/2017	3	3	0	0	0
2017/2018	8	8	0	0	0
2018/2019	6	5	0	1	0
2019/2020	6	5	0	0	1
2020/2021	2	2	0	0	0
2021/2022	6	0	0	4	2
Total	31	23	0	5	3

* This part of the table sets out the total number of current actions not yet due at the date of the follow up report.

Report To: Inverclyde Integration Joint Board Audit Committee **Date:** 21 March 2022

Report By: Interim Corporate Director (Chief Officer)
Inverclyde Health & Social Care Partnership **Report No:** IJBA/06/2022/AP

Contact Officer: Andi Priestman **Contact No:** 01475 712251

Subject: STATUS OF EXTERNAL AUDIT ACTION PLANS AT 31 JANUARY 2022

1.0 PURPOSE

- 1.1 The purpose of this report is to advise IJB Audit Committee members of the status of current actions from External Audit Action Plans at 31 January 2022.

2.0 SUMMARY

- 2.1 The Chief Internal Auditor co-ordinates follow up reporting on current actions arising from External Audit Action Plans on a monthly basis with regular reporting to the Audit Committee.

- 2.2 There were no actions due for completion by 31 January 2022.

- 2.3 There are 3 current external audit actions being progressed by officers. The current status report is attached at Appendix 1.

**Appendix
1**

3.0 RECOMMENDATIONS

- 3.1 It is recommended that IJB Audit Committee members note the progress to date in relation to the implementation of external audit actions.

Allen Stevenson
Interim Chief Officer Inverclyde Health & Social Care Partnership

4.0 BACKGROUND

- 4.1 External Audit regularly report findings and action plans to relevant IJB Officers and the Audit Committee as part of their annual audit plan.
- 4.2 A follow up process is in place to allow follow up of current external audit actions to be co-ordinated and updated by Internal Audit on a monthly basis with regular reporting to the Audit Committee.

5.0 CURRENT POSITION

- 5.1 There were no actions due for completion by 31 January 2022.
- 5.2 There are 3 current external audit actions being progressed by officers. The current status report is attached at Appendix 1.

**Appendix
1**

6.0 IMPLICATIONS

Finance

- 6.1 The work required to carry out audit follow up will be contained within the existing Internal Audit budget set by Inverclyde Council.

Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact	Virement From (If Applicable)	Other Comments
N/A					

Legal

- 6.2 There are no direct legal implications arising from this report.

Human Resources

- 6.3 There are no direct HR implications arising from this report.

Equalities

- 6.4 Has an Equality Impact Assessment been carried out?

	YES
X	NO – This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy. Therefore, no Equality Impact Assessment is required.

6.0 IMPLICATIONS (CONTINUED)

How does this report address our Equality Outcomes?

Equalities Outcome	Implications
People, including individuals from the above protected characteristic groups, can access HSCP services.	None
Discrimination faced by people covered by the protected characteristics across HSCP services is reduced if not eliminated.	None
People with protected characteristics feel safe within their communities.	None
People with protected characteristics feel included in the planning and developing of services.	None
HSCP staff understand the needs of people with different protected characteristic and promote diversity in the work that they do.	None
Opportunities to support Learning Disability service users experiencing gender based violence are maximised.	None
Positive attitudes towards the resettled refugee community in Inverclyde are promoted.	None

6.5 There are no direct clinical or care governance implications arising from this report.

National Wellbeing Outcomes

6.6 How does this report support delivery of the National Wellbeing Outcomes?

National Wellbeing Outcome	Implications
People are able to look after and improve their own health and wellbeing and live in good health for longer.	None
People, including those with disabilities or long term conditions or who are frail are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community	None
People who use health and social care services have positive experiences of those services, and have their dignity respected.	None
Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.	None
Health and social care services contribute to reducing health inequalities.	None
People who provide unpaid care are supported to look after their own health and wellbeing, including reducing any negative impact of their caring role on their own health and wellbeing.	None
People using health and social care services are safe from harm.	None

People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.	None
Resources are used effectively in the provision of health and social care services.	None

7.0 DIRECTIONS

7.1	Direction Required to Council, Health Board or Both	Direction to:	
		1. No Direction Required	X
		2. Inverclyde Council	
		3. NHS Greater Glasgow & Clyde (GG&C)	
		4. Inverclyde Council and NHS GG&C	

8.0 CONSULTATIONS

8.1 N/A

9.0 LIST OF BACKGROUND PAPERS

9.1 External Audit Reports. Copies available from Chief Internal Auditor.

**INVERCLYDE INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS
AT 31 JANUARY 2022**

Summary: Section 1 Summary of Management Actions due for completion by 31/01/2022

There were no actions due for completion by 31 January 2022.

Section 2 Summary of Current Management Actions Plans at 31/01/2022

At 31 January 2022 there were no audit reports delayed due to management not finalising the action plan within agreed timescales.

Section 3 Current Management Actions at 31/01/2022

At 31 January 2022 there were 3 current audit action points.

Section 4 Analysis of Missed Deadlines

At 31 January 2022 there were 2 audit action points where the agreed deadline has been missed.

**INVERCLYDE INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS**

SUMMARY OF MANAGEMENT ACTION PLANS DUE FOR COMPLETION BY 31.01.2022

SECTION 1

No. of Actions Due	No. of Actions Completed	Deadline missed Revised date set*	Deadline missed Revised date to be set*
0			

* These actions are included in the Analysis of Missed Deadlines – Section 4

**INVERCLYDE COUNCIL INTERNAL AUDIT
REPORT TO AUDIT COMMITTEE ON
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS**

SUMMARY OF CURRENT MANAGEMENT ACTIONS AS AT 31.01.2022

SECTION 2

CURRENT ACTIONS

Month	No of actions
Due for completion March 2022	1
Due for completion July 2022	1
Due for completion March 2023	1
Total Actions	3

**INVERCLYDE COUNCIL INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS**

CURRENT MANAGEMENT ACTIONS AS AT 31.01.2022

SECTION 3

Action	Owner	Expected Date
2019/2020 Annual Audit Report (October 2020)		
Savings Proposals Efficiency savings plans and proposals should continue to be developed to meet anticipated savings targets.	Chief Financial Officer	31.03.2022*
Integration Scheme Review The Scottish Government have confirmed IJBs will be required to review their current integration schemes rather than complete a new scheme. The IJB is working with the other Greater Glasgow & Clyde IJBs around the timing of this review. It is anticipated that the six IJBs (associated with NHS Greater Glasgow and Clyde) will work together with their Council and Health Board Partners to review their schemes with a view to approving and submitting the updated Integration Schemes to the Scottish Government by July 2022.	Chief Officer	31.07.2022
Implementation of Locality Planning Groups This work has inevitably been delayed by Covid-19. However, work is restarting on this now. An initial virtual pilot meeting is due to take place soon for the Port Glasgow Locality Group.	Planning and Performance Manager (HSCP)	31.03.2023*

* See analysis of missed deadlines – Section 4

**INVERCLYDE INTEGRATION JOINT BOARD
INTERNAL AUDIT REPORT TO AUDIT COMMITTEE ON
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS
ANALYSIS OF MISSED DEADLINES**

SECTION 4

Report	Action	Original Date	Revised Date	Management Comments
<p>2019/2020 Annual Audit Report (October 2020)</p>	<p>Implementation of Locality Planning Groups This work has inevitably been delayed by Covid-19. However, work is restarting on this now. An initial virtual pilot meeting is due to take place soon for the Port Glasgow Locality Group.</p>	<p>31.03.21</p>	<p>31.03.23</p>	<p>Two Locality Planning Groups have been established (Port Glasgow and Inverkip & Wemyss Bay) and last met in September 2021 with meetings scheduled quarterly. By June 2022, an evaluation of these two groups will take place and decision made by October 2022 as to whether to extend to the other four areas (as per the current model) or consider a streamlined approach of establishing two LPGs covering East and West Inverclyde with the six CEGs continuing to meet regularly.</p>
<p>2019/2020 Annual Audit Report (October 2020)</p>	<p>Savings Proposals Efficiency savings plans and proposals should continue to be developed to meet anticipated savings targets.</p>	<p>31.03.21</p>	<p>31.03.22</p>	<p>Work is underway to develop savings / spend to save proposals based on estimated funding positions. In line with previous years this will be firmed up once Scottish Government public sector budgets are confirmed in December and will go to the IJB for consideration and approval between Feb and March 2022.</p>

Report To: Inverclyde Integration Joint Board Audit Committee **Date:** 21 March 2022

Report By: Allen Stevenson
Interim Chief Officer
Inverclyde Integration Joint Board **Report No:** IJBA/07/2022/AP

Contact Officer: Andi Priestman **Contact No:** 01475 712251

Subject: INTERNAL AUDIT - ANNUAL STRATEGY AND PLAN 2022-2023

1.0 PURPOSE

- 1.1 The purpose of this report is to present the Internal Audit Annual Strategy and Plan for 2022-2023 for approval.

2.0 SUMMARY

- 2.1 The Public Sector Internal Audit Standards include the requirement for the Chief Internal Auditor to prepare a risk-based plan to determine the priorities of the internal audit activity, consistent with the organisation's goals.
- 2.2 The Chief Internal Auditor will prepare an annual internal audit plan which will be subject to consideration and approval by the IJB Audit Committee.
- 2.3 Internal Audit follows a risk-based approach and it is intended that audit work will be focused on areas of greater risk taking into account management's own view of risk, previous audit findings and any other internal or external factors affecting the Inverclyde Integration Joint Board.
- 2.4 The proposed Internal Audit Annual Strategy and Plan for 2022-2023 is set out at Appendix 1.
- 2.5 The total budget for the Internal Audit Annual Plan for 2022-2023 has been set at 45 days. The Plan does not contain any contingency provision. Where there are any unforeseen work demands that arise eg special investigations or provision of ad hoc advice, this will require to be commissioned as an additional piece of work which will be subject to a separate agreement.
- 2.6 The Public Sector Internal Audit Standards require that the annual audit plan should be kept under review to reflect any changing priorities and emerging risks. Any material changes to the audit plan will be presented to the IJB Audit Committee for approval.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that Inverclyde IJB Audit Committee approve the Internal Audit Annual Plan for 2022-2023.

**Allen Stevenson
Interim Chief Officer
Inverclyde Integration Joint Board**

4.0 BACKGROUND

- 4.1 Internal Audit is an assurance function that primarily provides an independent and objective opinion to the organisation on the control environment comprising governance, risk management and control by evaluating its effectiveness in achieving the organisation's objectives. It objectively examines, evaluates and reports on the adequacy of the control environment as a contribution to the proper, economic, efficient and effective use of resources.
- 4.2 As stated in the IRAG (Integrated Resources Advisory Group) Guidance, it is the responsibility of the IJB to establish adequate and proportionate internal audit arrangements for review of the adequacy of the arrangements for risk management, governance and control of the delegated resources.
- 4.3 The Public Sector Internal Audit Standards include the requirement for the Chief Internal Auditor to prepare a risk-based plan to determine the priorities of the internal audit activity, consistent with the organisation's goals.
- 4.4 The Chief Internal Auditor will prepare an annual internal audit plan which will be subject to consideration and approval by the IJB Audit Committee.

5.0 CURRENT POSITION

- 5.1 Internal Audit follows a risk-based approach and it is intended that audit work will be focused on areas of greater risk taking into account management's own view of risk, previous audit findings and any other internal or external factors affecting the Inverclyde Integration Joint Board.
- 5.2 The proposed Internal Audit Annual Strategy and Plan for 2022-2023 is set out at Appendix 1.
- 5.3 The total budget for the Internal Audit Annual Plan for 2022-2023 has been set at 45 days. The Plan does not contain any contingency provision. Where there are any unforeseen work demands that arise eg special investigations or provision of ad hoc advice, this will require to be commissioned as an additional piece of work which will be subject to a separate agreement.
- 5.4 The Public Sector Internal Audit Standards require that the annual audit plan should be kept under review to reflect any changing priorities and emerging risks. Any material changes to the audit plan will be presented to the IJB Audit Committee for approval.

6.0 IMPLICATIONS

Finance

- 6.1 The work required to deliver the IJB's Annual Internal Audit Plan will be contained within the existing Internal Audit budget set by Inverclyde Council.

Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact	Virement From (if Applicable)	Other Comments
N/A					

Legal

6.2 There are no direct legal implications arising from this report.

Human Resources

6.3 There are no direct HR implications arising from this report.

Equalities

6.4 Has an Equality Impact Assessment been carried out?

	YES
X	NO – This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy. Therefore, no Equality Impact Assessment is required.

How does this report address our Equality Outcomes?

Equalities Outcome	Implications
People, including individuals from the above protected characteristic groups, can access HSCP services.	None
Discrimination faced by people covered by the protected characteristics across HSCP services is reduced if not eliminated.	None
People with protected characteristics feel safe within their communities.	None
People with protected characteristics feel included in the planning and developing of services.	None
HSCP staff understand the needs of people with different protected characteristic and promote diversity in the work that they do.	None
Opportunities to support Learning Disability service users experiencing gender based violence are maximised.	None
Positive attitudes towards the resettled refugee community in Inverclyde are promoted.	None

6.5 There are no direct clinical or care governance implications arising from this report.

National Wellbeing Outcomes

6.6 How does this report support delivery of the National Wellbeing Outcomes?

National Wellbeing Outcome	Implications
People are able to look after and improve their own health and wellbeing and live in good health for longer.	None
People, including those with disabilities or long term conditions or who are frail are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community	None
People who use health and social care services have positive experiences of those services, and have their dignity respected.	None
Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.	None
Health and social care services contribute to reducing health inequalities.	None
People who provide unpaid care are supported to look after their own health and wellbeing, including reducing any negative impact of their caring role on their own health and wellbeing.	None
People using health and social care services are safe from harm.	None
People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.	None
Resources are used effectively in the provision of health and social care services.	None

7.0 DIRECTIONS

7.1 Direction Required to Council, Health Board or Both	Direction to:	
	1. No Direction Required	X
	2. Inverclyde Council	
	3. NHS Greater Glasgow & Clyde (GG&C)	
	4. Inverclyde Council and NHS GG&C	

8.0 CONSULTATIONS

- 8.1 The IJB's Interim Chief Officer and Chief Financial Officer have been consulted in relation to the proposed annual audit plan coverage for 2022-2023.
- 8.2 There will be regular ongoing discussion with External Audit to ensure respective audit plans are reviewed as circumstances change in order to minimise duplication of effort and maximise audit coverage for the Inverclyde IJB.

9.0 LIST OF BACKGROUND PAPERS

9.1 None.

INTERNAL AUDIT ANNUAL STRATEGY AND PLAN 2022-2023

1. Introduction

- 1.1 The Public Sector Internal Audit Standards (PSIAS) set out the requirement for the Chief Internal Auditor to prepare a risk-based audit plan to determine the priorities of the internal audit activity, consistent with the organisation's goals.
- 1.2 The Chief Internal Auditor must review and adjust the plan as necessary in response to changes in the organisation's business, risks, operations and priorities.
- 1.3 The audit plan must incorporate or be linked to a strategic or high-level statement of how the Internal Audit Service will be delivered and developed in accordance with the Internal Audit Charter and how it links to the organisational objectives and priorities.
- 1.4 The strategy shall be reviewed on an annual basis as part of the audit planning process.

2. Internal Audit Objectives

- 2.1 The definition of internal auditing is contained within the PSIAS as follows:

"Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes."

- 2.2 The primary aim of the internal audit service is to provide assurance services which requires the Chief Internal Auditor to provide an annual internal audit opinion based on an objective assessment of the framework of governance, risk management and control.
- 2.3 The internal audit service also provides advisory services, generally at the request of the organisation, with the aim of improving governance, risk management and control and contributing to the overall opinion.
- 2.4 The internal audit service supports the Inverclyde IJB's Chief Financial Officer in her role as Section 95 Officer.

3. Risk Assessment and Audit Planning

- 3.1 The internal audit approach to annual audit planning is risk-based and aligns with the IJB's Corporate Risk Register.
- 3.2 There will be regular ongoing discussion with External Audit to ensure respective audit plans are reviewed as circumstances change in order to minimise duplication of effort and maximise audit coverage for the Inverclyde IJB.

INTERNAL AUDIT ANNUAL STRATEGY AND PLAN 2022-2023**4 Service Delivery**

- 4.1 The provision of the internal audit service is through a directly employed in-house team.
- 4.2 In relation to the total staff days allocated to the 2022-2023 plan, each member of staff completes a resource allocation spreadsheet for the year which is split between annual leave, public holidays, training days, general administration and operational plan days. This spreadsheet is reviewed and updated each period by each member of staff against time charged to timesheets.

The operational plan is 45 days which will be resourced as follows:

Team Member

Audit Practitioner – 40

The Chief Internal Auditor does not directly carry out the assignments included in the annual audit plan but provides the quality review and delivery oversight of the overall plan as well as undertaking audit planning and relevant reporting to the Audit Committee. As such, an allocation of 5 days is included within the plan. Where there are any resource issues which may impact on delivery of the plan, this will be reported to Audit Committee at the earliest opportunity.

- 4.3 Given the range and complexity of areas to be reviewed it is important that suitable, qualified, experienced and trained individuals are appointed to internal audit positions. The PSIAS requires that the Chief Internal Auditor must hold a professional qualification such as CMIIA (Chartered Internal Auditor), CCAB or equivalent and be suitably experienced. The internal auditor posts must also be CMIIA/CCAB or equivalent with previous audit experience.
- 4.4 Internal audit staff members identify training needs as part of an appraisal process and are encouraged to undertake appropriate training, including in-house courses and external seminars as relevant to support their development. All training undertaken is recorded in personal training records for CPD purposes.
- 4.5 Internal audit staff members require to conform to the Code of Ethics of the professional body of which they are members and to the Code of Ethics included within the PSIAS. An annual declaration is undertaken by staff in relation to specific aspects of the Code.
- 4.6 Following each review, audit reports are issued in draft format to agree the accuracy of findings and agree risk mitigations. Copies of final audit reports are issued to the IJB Chief Officer, HSCP Head of Service and HSCP Service Manager responsible for implementing the agreed action plan. A copy of each final audit report is also provided to External Audit.
- 4.7 The overall opinion of each audit report feeds into the Internal Audit Annual Report and Assurance Statement which is presented to the Audit Committee and is used by the Chief Financial Officer in the preparation of the Annual Governance Statement.

INTERNAL AUDIT ANNUAL STRATEGY AND PLAN 2022-2023

5 Proposed Audit Coverage 2022-2023

5.1 The proposed audit coverage is set out in the table below.

Risk Register Reference	Previous Assurance Work	Planned Assurance Work 2022-23	Other Assurance Work 2022-23
IJB Risk 1 – Effective Governance I 3 L 3 Risk Score 9	16/17 – Review of Governance Arrangements 21/22 – Performance Management and Reporting Arrangements	None	External Audit Annual Audit Plan 2021/22
IJB Risk 2 – Maintaining Effective Communication and Relationships with Acute Partners During Transformational Change I 3 L 3 Risk Score 9	Inverclyde Council Internal Audit Annual Audit Plans: 18/19 – HSCP Contract and Commissioning arrangements 18/19 - Change Management Arrangements 21/22 – Project Assurance Review – Swift Replacement System	None	Inverclyde Council Internal Audit Annual Audit Plan 2022/23 – SWIFT Replacement System
IJB Risk 3 – Financial Sustainability/ Constraints/ Resource Allocation I 4 L 3 Risk Score 12	17/18 - Strategic Planning and Performance Management Arrangements 18/19 – Financial Planning 19/20 Budgetary Control	Review of pandemic recovery and response planning arrangements.	External Audit Annual Audit Plan 2021/22
IJB Risk 4 – Financial Implications of Responding to Covid-19 I 4 L 3 Risk Score 12	New Risk for 2022	Review of pandemic recovery and response planning arrangements.	External Audit Annual Audit Plan 2021/22
IJB Risk 5 – Workforce Sustainability and Implementation of People Plan I 4 L 3 Risk Score 12	17/18 – Workforce Planning Arrangements	Interim Review of Workforce Plan 2020 to 2024 implementation progress.	
IJB Risk 6 – Home Care I 3 L 5 Risk Score 15	New Risk for 2022	None	Inverclyde Council Internal Audit Annual Audit Plan 2022/23 – SWIFT Replacement System
IJB Risk 7 – Contingency Plans I 3 L 4 Risk Score 12	New Risk for 2022	Review of pandemic recovery and response planning arrangements.	

INTERNAL AUDIT ANNUAL STRATEGY AND PLAN 2022-2023

Risk Register Reference	Previous Assurance Work	Planned Assurance Work 2022-23	Other Assurance Work 2022-23
IJB Risk 8 – Performance Management Information I 3 L 3 Risk Score 9	17/18 – Strategic Planning and Performance Management Arrangements 18/19 – IJB Directions 20/21 – Advisory review on new IJB Directions Policy 21/22 – Implementation of IJB Directions	Internal Audit follow up exercises 2022/2023	
IJB Risk 9 – Locality Planning to Better Understand the Needs of the Community I 3 L 2 Risk Score 6	17/18 - Strategic Planning and Performance Management Arrangements	Internal and External Audit follow up exercise 2022/2023	External Audit Annual Audit Plan 2021/22
Other Work			
Action Plan Follow Up	To monitor the progress of implementation of agreed internal audit action plans by management.		
Audit Planning and Management	Review and update of the audit universe and attendance at IJB Audit Committee.		
Internal Audit Annual Report 2021-2022	Annual report on 2021-2022 audit activity will be provided to CFO to inform the Annual Governance Statement for the IJB.		
Total Staff Days			45

INTERNAL AUDIT ANNUAL STRATEGY AND PLAN 2022-2023

6 Quality and Performance

- 6.1 The PSIAS require each internal audit service to maintain an ongoing quality assurance and improvement programme based on an annual self-assessment against the Standards, supplemented at least every five years by a full independent external assessment.
- 6.2 In addition, the performance of Internal Audit continues to be measured against key service targets focussing on quality, efficiency and effectiveness. For 2022-2023 these have been set as follows:

Measure	Description	Target
1. Final Report	Percentage of final reports issued within 2 weeks of draft report.	100%
2. Draft Report	Percentage of draft reports issued within 3 weeks of completion of fieldwork.	100%
3. Audit Plan Delivery	Percentage of audits completed v planned.	100%
4. Audit Budget	Percentage of audits completed within budgeted days.	100%
5. Audit Recommendations	Percentage of audit recommendations agreed.	90%
6. Action Plan Follow Up	Percentage of action plans followed up – Internal and External Audit.	100%
7. Customer Feedback	Percentage of respondents who rated the overall quality of internal audit as satisfactory or above.	100%
8. Staff compliance with CPD	Number of training hours undertaken to support CPD	20
9. Management engagement	Number of meetings with Chief Officer and Chief Financial Officer as appropriate	2 per year

- 6.3 Actual performance against targets will be included in the Internal Audit Annual Assurance Report for 2022-2023.

Report To: Inverclyde Integration Joint Board - Audit Committee **Date:** 21 March 2022

Report By: Allen Stevenson
(Interim Chief Officer)
Inverclyde Health & Social
Care Partnership **Report No:**
IJBA/08/2022/CG

Contact Officer: Craig Given **Contact No:** 01475 715381

Subject: IJB BEST VALUE STATEMENT 2021/22

1.0 PURPOSE

- 1.1 The purpose of this report is to provide a statement in relation to how the IJB has delivered Best Value during the previous financial year.

2.0 SUMMARY

- 2.1 Appendix A contains the Draft Best Value Statement for 2021/22. This is reviewed and updated annually as part of the annual accounts process.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that the IJB Audit Committee approve the Best Value Statement enclosed at Appendix A.

Allen Stevenson
Interim Chief Officer

Craig Given
Chief Financial Officer

4.0 BACKGROUND

- 4.1 Integration Joint Boards have a statutory duty to make arrangements to secure best value. To achieve this, IJBs are required to have effective arrangements in place for scrutinising performance, monitoring progress towards achieving strategic objectives and holding partners to account.
- 4.2 Part of evidencing the work that the IJB does in relation to this is through officers reviewing and updating the Best Value Statement enclosed at Appendix A each year as part of the annual accounts process.
- 4.3 The statement considers Inverclyde's position in relation to 10 key Audit Scotland Best Value prompts. Based on this statement and placing appropriate reliance on the Best Value arrangements in place through the Council and Health Board no additional action is required by the IJB at this time over and above the actions already taking place as detailed in the statement. These 10 questions and draft responses were sent to all IJB members during the year for comment and those comments were used to update the enclosed draft statement.
- 4.4 In compiling the response a questionnaire was sent to all IJB members in January 2021. The survey detailed the 10 Best Value prompt questions recommended by Audit Scotland and showed the proposed responses to each of those. 7 responses were received to the questionnaire. In the main respondents agreed with the proposed narrative. Where changes were proposed these have been shown as tracked changes on the attached appendix. The table in Appendix B details the responses received and action taken.
- 4.5 Within the responses were 5 comments which weren't specific wording changes. Where possible the response has been amended to reflect these. The comments received were:

Q1. "As BV is (Audit Scotland definition): delivering good governance, the effective management of resources, with a focus on improvement to deliver the best outcomes, it is implicit that the Board (IJB) is primarily responsible. It directs the Accountable Officer to deliver this and seeks to hold to account via its assurance and governance framework. I wonder if we might make this more explicit here!" – Response wording was amended to reflect this.

Q3. "As this is about partner 'buy in' to our vision (in effect, our Strategic Plan and 6 Big Outcomes), I wonder if this is strengthened if we add a short sentence about the fact that both partners have historically delegated significant budget resources to deliver the integration of health and social care services, which have themselves been delegated to the IJB. – Response wording was amended to reflect this.

Q3. "I think we still have work to do here, and I think we need to look at this question in a context that is wider than Council / Health Board – there are partners who have "bought in" enough to attend the IJB but whose voices are still not necessarily heard. I would be brave enough to suggest that we would be a richer board if we paid some attention to addressing this – particularly if the role of IJB's is likely to be enhanced. The IJB's role / visibility within the Alliance could also be developed further" – Response wording was amended to reflect this.

Q4. "As this is about how VFM is demonstrated by the decisions made, you could reasonably add here by way of example that of our most recent deliberation/decision on a £1M+ contract tender [for a new 'Social Care Case Management System'] actively considered the weighting of quality and price as a means of achieving the full value of the resources being expended, weighting quality over cost." – Response wording was amended to reflect this.

Q5. "I would explicitly point to the successful marriage of development work and effective risk management within the IJB context. As a board, looking at risk and viewing improvement planning with risk as a live concern has been a positive experience as an IJB member, and helps to ensure that individual improvements are cogent with a direction of travel, and are managed appropriately. It is a **culture** of continuous improvement, not a series of improvements that are haphazardly implemented." – Response wording was amended to reflect this.

5.0 DIRECTIONS

5.1	Direction Required to Council, Health Board or Both	Direction to:	
		1. No Direction Required	X
		2. Inverclyde Council	
		3. NHS Greater Glasgow & Clyde (GG&C)	
		4. Inverclyde Council and NHS GG&C	

6.0 IMPLICATIONS

6.1 FINANCE

There are no financial implications arising from this report.

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

Annually Recurring Costs / (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From	Other Comments
N/A					

LEGAL

6.2 There are no specific legal implications arising from this report.

HUMAN RESOURCES

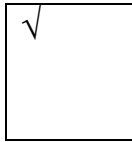
6.3 There are no specific human resources implications arising from this report.

EQUALITIES

6.4 There are no equality issues within this report.

Has an Equality Impact Assessment been carried out?

YES (see attached appendix)



NO – This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy. Therefore, no Equality Impact Assessment is required.

6.5 How does this report address our Equality Outcomes

There are no Equalities Outcomes implications within this report.

Equalities Outcome	Implications
People, including individuals from the above protected characteristic groups, can access HSCP services.	None
Discrimination faced by people covered by the protected characteristics across HSCP services is reduced if not eliminated.	None
People with protected characteristics feel safe within their communities.	None
People with protected characteristics feel included in the planning and developing of services.	None
HSCP staff understand the needs of people with different protected characteristic and promote diversity in the work that they do.	None
Opportunities to support Learning Disability service users experiencing gender based violence are maximised.	None
Positive attitudes towards the resettled refugee community in Inverclyde are promoted.	None

CLINICAL OR CARE GOVERNANCE IMPLICATIONS

6.6 There are /are no governance issues within this report.

NATIONAL WELLBEING OUTCOMES

6.7 How does this report support delivery of the National Wellbeing Outcomes

There are no National Wellbeing Outcomes implications within this report.

National Wellbeing Outcome	Implications
People are able to look after and improve their own health and wellbeing and live in good health for longer.	None
People, including those with disabilities or long term conditions or who are frail are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community	None
People who use health and social care services have positive experiences of those services, and have their dignity respected.	None
Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.	None
Health and social care services contribute to reducing health inequalities.	None
People who provide unpaid care are supported to look after their own health and wellbeing, including reducing any negative impact of their caring role on their own health and wellbeing.	None

People using health and social care services are safe from harm.	None
People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.	None
Resources are used effectively in the provision of health and social care services.	None

7.0 CONSULTATION

7.1 This report was prepared in consultation with the Chief Officer and External Audit.

8.0 BACKGROUND PAPERS

8.1 None.

APPENDIX A

IJB Best Value – Draft Statement 2020/21

	Audit Scotland Prompt	Response
1	Who do you consider to be accountable for securing Best Value in the IJB?	<p>The duty of Best Value applies to all public bodies in Scotland. It is a statutory duty on local authorities (Inverclyde Council) and a formal duty on Accountable Officers, such as the Chief Executive of NHS GG&C.</p> <p>The IJB is responsible for directing its partners (the Council and Health Board) to commission all IJB services in line with the principles of Best Value. Ultimately the IJB is primarily responsible to deliver Best Value and it directs its accountable officer to deliver this and seeks to hold to account via its assurance and governance framework. However, this does not remove the accountability within partner organisations for their own responsibilities under Best Value legislation. Commissioning from third sector providers should be evaluated with Best Value principles during procurement.</p>
2	How do you receive assurance that the services supporting the delivery of the strategic plan are securing Best Value?	<p>IJB directions to the Council and Health Board clearly require them to deliver services in line with our Strategic Plan and that all services must be procured and delivered in line with Best Value principles.</p> <p>There are current arrangements for monitoring the delivery of the Strategic Plan this within various IJB/HSCP forums, including:</p> <ul style="list-style-type: none"> • Integration Joint Board Meetings • Transformation Board • Audit Committee • Inverclyde Health & Social Care Committee • Clinical & Care Governance Committee • Strategic Planning Group • Senior Management Team (HSCP) • Corporate Management Teams of the Health Board and Council <p>Performance is scrutinised regarding the targets met or any issues that arise from this. Systems of control within the IJB are subject to Internal Audit review and scrutiny by the IJB Audit Committee. The Committee also receives a regular</p>

	Audit Scotland Prompt	Response
		<p>summary of all internal audit reports relating to the IJBs partner organisations which provides further assurance in relation to Best Value. The IJB also places reliance on the controls and procedures of our partner organisations in terms of Best Value delivery which are also subject to regular audit and review directly through those partner organisations.</p> <p>IJB directions to the Council and Health Board clearly require them to deliver services in line with our Strategic Plan and that all services must be procured and delivered in line with Best Value principles.</p>
3	Do you consider there to be sufficient buy-in to the IJB's longer term vision from partner officers and members?	<p>Yes - the IJB has good joint working arrangements in place and has benefited from ongoing support from members and officers within our partner organisations over the last year in order to deliver the IJBs longer term vision. Within Inverclyde there is a wider collaborative approach to Health and Social Care with a commitment to Best Value from all relevant partners which is evidenced through their own Best Value processes and audit arrangements. Both partners have historically delegated significant budget resources to deliver the integration of health and social care services, which have themselves been delegated to the IJB</p> <p>The IJB also works closely with Community Planning Partners through the Strategic Alliance. However, there is still a feeling within the IJB that this could be improved further with more partnership engagement.</p>
4	How is value for money demonstrated in the decisions made by the IJB?	<p>All IJB papers carry a section that clearly outlines the financial implications of each proposal as well as other implications in terms of legal, HR, equality and diversity and linkage to the IJBs strategic objectives.</p> <p>The IJB engages in healthy debate and discussions around any proposed investment decisions and savings proposals, many of which are supported by additional IJB development sessions. In addition IJB directions to the Health Board and Council require them to deliver our services in line with Best Value principles.</p> <p>An example can be seen with the recent decision made by the IJB for the new 'Social Care Case Management System whereby the IJB actively considered the weighting of quality and price as a means of achieving the full value of the resources</p>

	Audit Scotland Prompt	Response
5	Do you consider there to be a culture of continuous improvement?	<p>being expended, weighting quality over cost.</p> <p>Yes – IJB, SPG and SMT development sessions over the past 12 months have sought to enhance the operational effectiveness of the IJB, SPG and SMT and of the services the HSCP delivers. The IJB operates and believes in creating a culture of continuous improvement working in conjunction with its attitude towards risk as a live concern.</p> <p>Many of these development sessions have been focussed around service redesign and improvement plans within services to ensure the IJB and SPG members are fully informed and engaged in our continuous improvement process. Both the IJB and SPG have staff-side representation, so staff and trade unions are also fully involved in shaping continuous improvement.</p> <p>We have also redesigned our Transformation Board arrangements to make clearer and closer links between the work of that Board and the Strategic Plan and Strategic Planning Group. Feedback from officers has been very positive on the new Board format.</p>
6	Have there been any service reviews undertaken since establishment – have improvements been identified? Is there any evidence of improvements in services and/or reductions in pressures as a result of joint working?	<p>Several reviews have taken place with many still ongoing. This work is overseen operationally by Review Boards for each Service Review and the Transformation Board oversees all of the reviews and redesigns with feedback on the planned and delivered service improvements and efficiencies of each.</p> <p>Some of the major reviews include: Learning Disabilities Review, Addictions Review and AHP Review. There has also been a major review of Health Improvement Services, shifting the focus from single topic project work to more of a Public Health approach. This has been done in a bid to embed a strategic approach to tackling inequalities across the whole Community Planning Partnership (the Inverclyde Alliance). All of these redesigns have been very recent, and the impacts have not yet been evaluated.</p>
7	Have identified improvement actions been prioritised in terms of those likely to have the	<p>Yes – Prioritised improvement actions in Inverclyde are managed through the Service Review Boards, Heads of Service, Transformation Board and the SMT with</p>

	Audit Scotland Prompt	Response
	greatest impact?	the Health Board and Council CMTs involved as required. All reviews are aligned to the overall Strategic Planning process which is monitored and controlled through the SPG. Annual implementation plan for each of the 6 Big Actions are in place and progress reports against these implementation plans go to the SPG and IJB to provide guidance on overall performance in delivering the Strategic Plan.
8	What steps are taken to ensure that quality of care and service provided is not compromised as a result of costs saving measures?	<p>Staff and clinical representation is in place on all Review Boards, the SPG and IJB. All redesigns are discussed at the Clinical and Care Governance Group, and potential implications are required to be assessed and included in IJB reports. In addition, Equality Impact Assessments are required for savings proposals. The IJBs Clinical Care Strategy puts a firm focus on the quality and safety of care across all services.</p> <p>The integrated ways of working in Inverclyde ensure that residents experience a quality standard of care. As an example, one of the key emerging priorities for the HSCP is supporting the 3rd sector's readiness to bid for contracts. Working in partnership with the local TSI, this commitment to supporting partners in the 3rd sector will improve both the quality of the tender bids and the capacity of the 3rd sector.</p> <p>Given the level of savings, demographic demands is becoming more difficult to deliver savings, there is a concern that this will impact on quality in the future.</p>
9	Is performance information reported to the board of sufficient detail to enable value for money to be assessed?	The IJB has oversight of IJB performance both operationally and financially through regular financial and performance monitoring reports.
10	How does the IJB ensure that management of resources (finances, workforce etc.) is effective and sustainable?	Regular budget and performance monitoring reports to the IJB give oversight of this. All IJB reports contain a section outlining the financial implications of each paper. The IJBs internal control reporting mechanisms linked to the Risk Register require reporting to the Audit Committee on any High/Significant operational risks in addition to the IJB strategic risks. This additional process helps ensure the IJB has sight of any potential concerns, enabling them to manage and mitigate any resource risks.

APPENDIX B

Summary of Questionnaire Responses

Question/Prompt	Survey Responses			Proposed change
	Agree response	Disagree	Not sure/No strong opinion	
1. Who do you consider to be accountable for securing Best Value in the IJB?	6/7	-	-	1/7 Response wording amended
2. How do you receive assurance that the services supporting the delivery of the strategic plan are securing Best Value?	7/7	-	-	
3. Do you consider there to be sufficient buy-in to the IJB's longer term vision from partner officers and members?	5/7	-	-	2/7 Response wording amended
4. How is value for money demonstrated in the decisions made by the IJB?	6/7	-	-	1/7 Response wording amended
5. Do you consider there to be a culture of continuous improvement?	6/7	-	-	1/7 Response wording amended
6. Have there been any service reviews undertaken since establishment – have improvements been identified? Is there any evidence of improvements in services and/or reductions in pressures as a result of joint working?	6/7	-	-	
7. Have identified improvement actions been prioritised in terms of those likely to have the greatest impact?	7/7	-	-	
8. What steps are taken to ensure that quality of care and service provided is not compromised as a result of costs saving measures?	7/7	-	-	
9. Is performance information reported to the board of sufficient detail to enable value for money to be assessed?	7/7	-	-	-
10. How does the IJB ensure that management of resources (finances, workforce etc.) is effective and sustainable?	7/7	-	-	

Report To:	Inverclyde Integration Joint Board Audit Committee	Date:	21 March 2022
Report By:	Allen Stevenson, Interim Chief Officer, Inverclyde Health & Social Care Partnership	Report No:	VP/LS/027/22
Contact Officer:	Vicky Pollock	Contact No:	01475 712180
Subject:	INVERCLYDE INTEGRATION JOINT BOARD – DIRECTIONS UPDATE MARCH 2022		

1.0 PURPOSE

- 1.1 The purpose of this report is to provide the Inverclyde Integration Joint Board Audit Committee (IJB Audit) a summary of the Directions issued by Inverclyde Integration Joint Board (IJB) to Inverclyde Council and NHS Greater Glasgow and Clyde in the period September 2021 to March 2022.

2.0 SUMMARY

- 2.1 A revised IJB Directions Policy and Procedure was approved by the IJB in September 2020. As part of the agreed procedure, IJB Audit has assumed responsibility for maintaining an overview of progress with the implementation of Directions, requesting a mid-year progress report and escalating key delivery issues to the IJB. This is the third such report and covers the period from September 2021 to March 2022.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Inverclyde Integration Joint Board Audit Committee notes the content of this report.

4.0 BACKGROUND

- 4.1 Directions are the means by which the IJB tells the Health Board and the Council what is to be delivered using the integrated budget, and for Inverclyde IJB to improve the quality and sustainability of care, as outlined in its Strategic Plan and in support of transformational change. A direction must be given in respect of every function that has been delegated to the IJB. Directions are a legal mechanism, the use of directions is not optional for IJBs, Health Boards or Local Authorities, it is obligatory.
- 4.2 A revised IJB Directions Policy and Procedure was approved by the IJB in [September 2020](#). As part of the agreed procedure, IJB Audit has assumed responsibility for maintaining an overview of progress with the implementation of Directions, requesting a mid-year progress report and escalating key delivery issues to the IJB. This is the third such report and covers the period from September 2021 to March 2022.
- 4.3 This report outlines a summary of the Directions issued by the IJB during the period in scope. The report does not provide detail of the Directions' content or commentary on their impacts, as it is considered that this level of oversight is facilitated through the normal performance scrutiny arrangements of the IJB and Inverclyde Health and Social Care Partnership.

5.0 Summary of Directions

- 5.1 A Directions log has been established and will continue to be maintained and updated by the Council's Legal Services.
- 5.2 Between September 2021 to March 2022 (inclusive):
- the IJB has issued 6 Directions;
 - 4 of these were Directions to both the Council and Health Board;
 - 1 of these was Directions to the Council only; and
 - 1 of these was Directions to the Health Board only.
- 5.3 Of the 6 Directions issued by the IJB:
- 3 remain open (current);
 - 2 are closed and have been superseded; and
 - 1 is complete.
- 5.4 The list of Directions issued by the IJB to Inverclyde Council and NHS Greater Glasgow and Clyde is set out at Appendix 1 of this report. The list is split into financial years – 2020/21 and 2021/22
- 5.5 As part of their review of the IJB Directions Policy, Internal Audit have recommended that the IJB is provided with an annual report on the IJB's Directions. The second annual report will be presented to the IJB at its meeting around September 2022.

6.0 PROPOSALS

- 6.1 It is proposed that the IJB Audit Committee notes this report.

7.0 IMPLICATIONS

Finance

- 7.1 There are no financial implications arising from this report.

Financial Implications:

One Off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report	Virement From	Other Comments
N/A	N/A	N/A	N/A	N/A	N/A

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact	Virement From (If Applicable)	Other Comments
N/A	N/A	N/A	N/A	N/A	N/A

Legal

- 7.2 The IJB is, in terms of Sections 26 to 28 of the Public Bodies (Joint Working) (Scotland) Act 2014, required to direct Inverclyde Council and NHS Greater Glasgow and Clyde to deliver services to support the delivery of the Strategic Plan.

Human Resources

- 7.3 There are no HR implications arising from this report.

Equalities

- 7.4 There are no equality issues within this report.

- 7.4.1 Has an Equality Impact Assessment been carried out?

	YES (see attached appendix)
X	NO – This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy which has a differential impact on any of the protected characteristics. Therefore, no Equality Impact Assessment is required.

- 7.4.2 How does this report address our Equality Outcomes

There are no Equalities Outcomes implications within this report.

Equalities Outcome	Implications
People, including individuals from the above protected characteristic groups, can access HSCP services.	None
Discrimination faced by people covered by the protected characteristics across HSCP services is reduced if not eliminated.	None
People with protected characteristics feel safe within their communities.	None
People with protected characteristics feel included in the planning and developing of services.	None
HSCP staff understand the needs of people with different protected characteristic and promote diversity in the work that they do.	None
Opportunities to support Learning Disability service users experiencing gender based violence are maximised.	None
Positive attitudes towards the resettled refugee community in Inverclyde are promoted.	None

Clinical or Care Governance

7.5 There are no clinical or care governance issues within this report.

National Wellbeing Outcomes

7.6 How does this report support delivery of the National Wellbeing Outcomes
There are no National Wellbeing Outcomes implications within this report.

National Wellbeing Outcome	Implications
People are able to look after and improve their own health and wellbeing and live in good health for longer.	None
People, including those with disabilities or long term conditions or who are frail are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community	None
People who use health and social care services have positive experiences of those services, and have their dignity respected.	None
Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.	None
Health and social care services contribute to reducing health inequalities.	None
People who provide unpaid care are supported to look after their own health and wellbeing, including reducing any negative impact of their caring role on their own health and wellbeing.	None
People using health and social care services are safe from harm.	None
People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.	None
Resources are used effectively in the provision of health and social care services.	None

8.0 DIRECTIONS

8.1 Direction Required to Council, Health Board or Both	Direction to:	
	1. No Direction Required	X
	2. Inverclyde Council	
	3. NHS Greater Glasgow & Clyde (GG&C)	
	4. Inverclyde Council and NHS GG&C	

9.0 CONSULTATIONS

9.1 The Interim Chief Officer and Chief Financial Officer have been consulted in the preparation of this report.

10.0 BACKGROUND PAPERS

10.1 None.

Ref. no.	Report Title	Direction to	Full Text	Functions Covered by Direction	Budget Allocated by IJB to carry out direction(s)	Date issued	With Effect From	Review Date	Status	Does this supersede, revise or revoke a previous Direction	Direction Reference superseded, revised or revoked	Link to IJB paper	Responsible Officer	Service Area	Most Recent Review (Date)
17.03.2 020 IJB/36/2 020/LA	Indicative Inverclyde IJB Budget 2020/21	Both Council and Health Board	Inverclyde Council is directed to spend the delegated net budget of £52.289m in line with the Strategic Plan and the budget outlined within the report. NHS Greater Glasgow and Clyde is directed to spend the delegated net budget of £115.554m in line with the Strategic Plan and the budget outlined within the report.	Budget 2020-21	The budget delegated to Inverclyde Council is £52.289m and NHS Greater Glasgow and Clyde is £115.554m as per the report.	17-Mar-20	17-Mar-20	Mar-21	Superseded	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13252/06%20Indicative%20Inverclyde%20IJB%20Budget%202020%202021.pdf	Chief Finance Officer	Finance	Direction superseded by in year Financial Monitoring reports
17.03.2 020 IJB/17/2 020/AH	Inverclyde Alcohol and Drug Recovery Development Update	Both Council and Health Board	Recruitment to a recovery post for 12 months to support the establishment of a recovery approach including commissioned services within Inverclyde and support development of recovery concepts within communities.	Alcohol & Drug Recovery Services	£825k over 3 years from Transformation Fund if future funding from Scot Govt to ADP is not confirmed	17-Mar-20	17-Mar-20		Current	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13200/08%20ADRS%20Update.pdf	Head of MH, Addictions and Homelessness	Alcohol & Drug Recovery	
17.03.2 020 IJB/17/2 020/AH	Inverclyde Alcohol and Drug Recovery Development Update	Both Council and Health Board	allocation of £825k across 3 years from the transformation fund to support the development of a commissioned community recovery hub, if future funding from the Scottish Government to Inverclyde Alcohol and Drug partnership is not confirmed.	Alcohol & Drug Recovery Services		17-Mar-20	17-Mar-20		Current	No	N/A		Head of MH, Addictions and Homelessness	Alcohol & Drug Recovery	
17.03.2 020 IJB/21/2 020/SM CA	Hard Edges Scotland Report	Council only	IJB has approved the appointment of two care navigators Grade 6 posts for 12 months through Inverclyde Council	Children & Families	£81.6k new Hard Edges funding	17-Mar-20	17-Mar-20		Current	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13201/09%20Hard%20Edges.pdf	Head of Children, Families and Criminal Justice	Childrens Services	
17.03.2 020 IJB/22/2 020/SM CA	Continuing Care	Both Council and Health Board	Inverclyde Council to adapt each children's houses to increase from 6 to 7 bedrooms and support the development of hybrid core and cluster accommodation linked to Children's residential services.	Children & Families	£122k one off funding from Continuing Care EMR £18k recurring for running costs of the flats to be funded from existing budget	17-Mar-20	17-Mar-20		Completed	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13202/10%20Continuing%20Care.pdf	Head of Children, Families and Criminal Justice	Childrens Services	Direction superseded by in year Financial Monitoring reports

Ref. no.	Report Title	Direction to	Full Text	Functions Covered by Direction	Budget Allocated by IJB to carry out direction(s)	Date issued	With Effect From	Review Date	Status	Does this supersede, revise or revoke a previous Direction	Direction Reference superseded, revised or revoked	Link to IJB paper	Responsible Officer	Service Area	Most Recent Review (Date)
17.03.2 020 IJB/31/2 020/AS	Tailored Moving & Handling Solutions	Both Council and Health Board	Tailored Moving and Handling Solutions project to be rolled out. 1 WTE I grade Occupational Therapist to be appointed (for 18 months initially) to sustain the focus of the work and drive this work forward, and to have the capacity to support reviews around moving and handling.	Health & Community Care	£125.5k over 18 months	17-Mar-20	17-Mar-20		Completed	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13203/11%20Tailored%20Moving%20Handling%20Solutions.pdf	Head of Health & Community Care	ICIL	
17.03.2 020 IJB/29/2 020/AS	Review of Health & Social Care Out of Hours Services	Both Council and Health Board	Appointment of additional posts required to deliver the integrated service as outlined in the report.	Health & Community Care	£203.5k to be funded from core budgets from 2020/21 onwards	17-Mar-20	17-Mar-20		Completed		N/A	Private report	Head of Health & Community Care	Older People OOH Services	
17.03.2 020 IJB/19/2 020/AH	Inverclyde HSCP Alcohol and Drug Service Redesign Workforce	Both Council and Health Board	Council and Health Board to implement the workforce plan in line with the ADRS review as per the report	Alcohol & Drug Recovery Services	As detailed in the report - restructure of existing service to be funded from existing budgets	17-Mar-20	17-Mar-20		Completed		N/A	Private report	Head of MH, Addictions and Homelessness	Alcohol & Drug Recovery	
17.03.2 020 IJB/32/2 020/AS	Social Care Case Management - Mini Competition	Both Council and Health Board	Inverclyde Council to oversee the procurement of a replacement Social Work Information system, subject to the Council approving £600,000 Capital funding, on top of the £243,000 agreed by the IJB through Prudential Borrowing	HSCP	£243k through IJB prudential borrowing	17-Mar-20	17-Mar-20	Updates will be brought back to the IJB regularly as the project proceeds	Current	No	N/A	Private report	Head of Strategy & Support Services	Performance & Information	Direction will be superseded by in year subsequent update reports in year
12.05.2 020 IJB/38/2 020/LA	Covid-19 Mobilisation Plan	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to implement the Covid-19 Mobilisation Plan outlined within the report and Appendix 1	All functions outlined within the report and Appendix 1.	As outlined in the report and Appendix 1. £0.450m of 2019/20 and £8.404m of 2020/21 Covid 19 costs are expected to be funded through Scottish Government Covid-19 funding.	12-May-20	12-May-20	May-21	Superseded	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13326/04%20COVID%2019%20Mobilisation%20Plan.pdf	Chief Finance Officer	Finance	Direction superseded by in year Financial Monitoring reports covid spend & funding updates

Ref. no.	Report Title	Direction to	Full Text	Functions Covered by Direction	Budget Allocated by IJB to carry out direction(s)	Date issued	With Effect From	Review Date	Status	Does this supersede, revise or revoke a previous Direction	Direction Reference superseded, revised or revoked	Link to IJB paper	Responsible Officer	Service Area	Most Recent Review (Date)
23.06.2 020 IJB/44/2 020/LL	Unscheduled Care Commissioning Plan	Both Council and Health Board	Note the requirement to implement the Unscheduled Care Commissioning Plan once finalised	HSCP	N/A	23-Jun-20	23-Jun-20	Updates will be brought back to the IJB regularly as the project proceeds	Current	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13375/10%20Unscheduled%20Care%20Commissioning%20Plan.pdf	Head of Strategy & Support Services	Commissioning	Direction will be superseded by subsequent update reports
23.06.2 020 IJB/45/2 020/SM CA	Champions Board/Proud2Care	Council only	Funding provided to continue resourcing of Proud 2 Care and to enable the Council's continued partnership with Your Voice and the Champion's Board to support continued Proud 2 Care activity	Children & Families	£70k and £40k through the Transformation Fund	23-Jun-20	23-Jun-20	Updates will be brought back to the IJB regularly as the project proceeds	Current	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13376/11%20Proud%202020Care.pdf	Head of Children, Families and Criminal Justice	Childrens Services	
23.06.2 020 IJB/50/2 020/DM CC	District Nursing Workforce	Health Board only	Funding provided to support 5 nurses to undertake the Specialist Practitioner Qualification in District Nursing, including backfill costs.	District Nursing	£207.3k through District Nursing Employee Costs	23-Jun-20	23-Jun-20		Completed	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13377/12%200%20District%20Nursing%20Workforce.pdf	Head of Health & Community Care	District Nursing	
24.08.2 020 IJB/54/2 020/LA	HSCP Workforce Plan 2020-2024	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to implement the requirements of the Workforce Plan attached as Appendix B to the report and within the associated budget outlined in Appendix A.	All functions outlined within the report and Appendix A.	As outlined in Appendix A.	24-Aug-20	24-Aug-20	Aug-21	Current	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13444/06%20Workforce%20Plan.pdf	Head of Strategy & Support Services	HSCP	Direction will be superseded by in year subsequent Financial Monitoring reports
24.08.2 020 IJB/51/2 020/LL	Health and Social Care Additional Staffing - Covid 19	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to fill the posts outlined in Section 6.1 of the report and within the associated budget also outlined in Section 6.1.	All functions outlined within Appendix A of the report.	The budget delegated to Inverclyde Council is £568,290 and NHS GG&C is £521,018 as outlined in Appendix A.	24-Aug-20	24-Aug-20	Apr-21	Superseded	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/13446/08%20Staffing%20Covid%2019.pdf	Chief Officer	HSCP	
21.09.2 020 IJB/60/2 020/LA	Financial Budget Monitoring Report - 2020/21 Period to 30 June 2020 - Period 3	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to deliver services in line with the IJB's Strategic Plan and within the associated budget outlined in Appendix 5	All functions outlined in Appendix 5 of the report.	As outlined in Appendix 5.	21-Sep-20	21-Sep-20	Nov-20	Superseded	Yes Supersede	17.03.2020 IJB/36/2020 /LA	https://www.inverclyde.gov.uk/meetings/documents/13556/08%20Financial%20Monitoring%20Report.pdf	Chief Finance Officer	Finance	Direction will be superseded by in year subsequent Financial Monitoring reports

Ref. no.	Report Title	Direction to	Full Text	Functions Covered by Direction	Budget Allocated by IJB to carry out direction(s)	Date issued	With Effect From	Review Date	Status	Does this supersede, revise or revoke a previous Direction	Direction Reference superseded, revised or revoked	Link to IJB paper	Responsible Officer	Service Area	Most Recent Review (Date)
21.09.2020 IJB/68/2020/LA	HSCP Digital Strategy 2020/21	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to deliver the actions within the digital investment plan for 2020/21 as outlined in the report and Appendix A. (Includes SWIFT replacement).	All functions outlined in Appendix A of the report.	As outlined in Appendix A.	21-Sep-20	21-Sep-20	Sep-21	Current	No	N/A	https://www.inverclyde.gov.uk/media/13565/1120Digital%20Strategy%20Action%20Plan.pdf	Head of Strategy & Support Services	HSCP	Direction will be superseded by in year subsequent Financial Monitoring reports
02.11.2020 IJB/65/2020/LL	Financial Budget Monitoring Report - 2020/21 Period to 31 August 2020 - Period 5	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to deliver services in line with the IJB's Strategic Plan and within the associated budget outlined in Appendix 5.	All functions outlined in Appendix 5 of the report.	As outlined in Appendix 5.	02-Nov-20	02-Nov-20	25-Jan-21	Superseded	Yes Supersede	21.09.2020 IJB60/2020/LA	https://www.inverclyde.gov.uk/media/13698/0620P5%20Monitoring%20Report.pdf	Chief Finance Officer	Finance	
25.01.2021 IJB/07/2020/LA	Financial Budget Monitoring Report 2020/21 - Period to 31 October 2020 - Period 7	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to deliver services in line with the IJB's Strategic Plan and within the associated budget outlined in Appendix 5.	All functions outlined in Appendix 5 of the report.	As outlined in Appendix 5.	25-Jan-21	25-Jan-21	Mar-21	Superseded	Yes Supersede	02.11.2020 IJB/65/2020/LL	https://www.inverclyde.gov.uk/media/13949/0620Financial%20Monitoring%20Report.pdf	Chief Finance Officer	Finance	
29.03.2021 IJB/15/2021/LA	Financial Budget Monitoring Report 2020/21 - December 2020 - Period 9	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to deliver services in line with the IJB's Strategic Plan and within the associated budget outlined in Appendix 5.	All functions outlined in Appendix 5 of the report.	As outlined in Appendix 5	29-Mar-21	29-Mar-21	May-21	Superseded	Yes Supersede	25.01.21 IJB/07/2020/LA	https://www.inverclyde.gov.uk/media/14117/0520Financial%20Monitoring%20Report.pdf	Chief Finance Officer	Finance	
29.03.2021 IJB/13/2021/LL	Emergency Powers Decision Log to March 2021	Health Board only	Appointment of 2 additional Health Visitors required to support Children's Services as outlined in the report.	Children & Families	£120k per annum including on costs	11-Feb-21 (emergency powers)	11-Feb-21	May-21	Current	No	N/A	https://www.inverclyde.gov.uk/media/14121/0920Emergency%20LogDecisions%20Log.pdf	Head of Children, Families and Criminal Justice	Childrens Services	

Ref. no.	Report Title	Direction to	Full Text	Functions Covered by Direction	Budget Allocated by IB to carry out direction(s)	Date Issued	With Effect From	Review Date	Status	Does this supersede, revise or revoke a previous Direction	Direction Reference superseded, revised or revoked	Link to IB paper	Responsible Officer	Service Area	Most Recent Review (Date)
29.03.2 021 IB/16/2 021/LA	Inverclyde IJB Budget 2021/22	Both Council and Health Board	Inverclyde Council is directed to spend the delegated net budget of £53.971m in line with the Strategic Plan and the budget outlined within the report. NHS Greater Glasgow and Clyde is directed to spend the delegated net budget of £121.183m in line with the Strategic Plan and the budget outlined within the report.	Budget 2021-22	The budget delegated to Inverclyde Council is £53.971m and NHS Greater Glasgow and Clyde is £121.183m as per the report.	29-Mar-21	29-Mar-21	Mar-22	Superseded	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/14118/06%20IB%20Budget%2016.pdf	Chief Finance Officer	Finance	20/09/2021 Superseded by Financial Monitoring Report 2021/22 - Period 3 - IJB/38/2021/C G
17.05.2 021 IB/20/2 021/AM	Inverclyde Alcohol and Drug Partnership Update	Both Council and Health Board	ADP funding plans to be noted and progressed. Funding allocation of £81,407 from the Scottish Government to be spent as outlined in the report. Funding bid to Corra Foundation of £441,882 for a 20 month test of change has been approved in principle and if successful, Inverclyde Council is directed to procure a third party service provider.	Alcohol & Drug Recovery Services	As detailed in the report.	17-May-21	17-May-21	May-22	Completed	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/14262/06%20Inverclyde%20Alcohol%20and%20Drug%20Partnership%20Update.pdf	Head of MH, ADRS and Homelessness	Alcohol and Drug Recovery	
17.05.2 021 IB/23/2 021/SM CA	The Promise Partnership Funding	Both Council and Health Board	Funding allocation via the Promise Partnership of £250,000 to be used to establish the I Promise Team and conduct the discovery of/design phase of the I Promise plan, including some test of change work. The Council and Health Board are directed to employ a Senior Officer at the appropriate grade, subject to job evaluation, and to fund a modern apprenticeship post. Additional staff outline in the report to be employed in partnership with third sector partners.	Children & Families	The Promise Partnership has been awarded one year's funding of £250,000, additional resource of £3k to be utilised via ADP funds and Care Experienced Attainment Funding.	17-May-21	17-May-21	May-21	Current	No	N/A	https://www.inverclyde.gov.uk/meetings/documents/14274/09%20The%20Promise%20Partnership%20Funding.pdf	Head of Children, Families and Criminal Justice	Children's Services	
17.05.2 021	ADRS - Proposed Update to Workforce Model	Both Council and Health Board	Council and Health Board to implement the approved changes to the workforce model in line with the ADRS review as per the report. Council is to transfer 2 posts and associated funding to the Inclusive Education, Culture and Communities Directorate to deliver on the Prevention and Education agenda.	Alcohol & Drug Recovery Services	As detailed in the report - restructure of existing service to be funded from existing budgets	17-May-21	17-May-21	May-22	Completed	No	N/A	Private Report	Head of MH, ADRS and Homelessness	Alcohol and Drug Recovery	

Ref. no.	Report Title	Direction to	Full Text	Functions Covered by Direction	Budget Allocated by IJB to carry out direction(s)	Date Issued	With Effect From	Review Date	Status	Does this supersede, revise or revoke a previous Direction	Direction supersede, Reference revised or revoked	Link to IJB paper	Responsible Officer	Service Area	Most Recent Review (Date)
21.06.2 021 IB/26/2 021/AM	HSCP Interim Workforce Plan 2020/21 - 2021/22	Both Council and Health Board	Council and Health Board jointly are directed to implement the requirements of the Inverclyde Interim Workforce Plan as attached to Appendix B of the report and within the associated budget outlined in the report	Finance, Planning & Resources	As detailed in the report. £100,000 training board. £50,000 wellbeing (covid) monies	21-Jun-21	21-Jun-21	Dec-21	Current	Yes	Supersedes Interim Workforce Plan 2020/21 - this is a supporting document to the overarching Workforce Strategy 2020/24 - see 24.08.2020 IB/5/4/2020/LA	https://www.inverclyde.gov.uk/meetings/meetings/2363	Head of Finance, Planning & Resources	Finance, Planning & Resources	
20.09.2 021 IB/38/2 021/CG	Financial Budget Monitoring Report - 2021/22 Period to 30 June 2021 - Period 3	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to deliver services in line with the IJB's Strategic Plan and within the associated budget outlined in Appendix 5	All functions outlined in Appendix 5 of the report.	As outlined in Appendix 5.	20-Sep-21	20-Sep-21	Nov-21	Superseded	Yes	29.03.2021 IB/16/2021/LA	https://www.inverclyde.gov.uk/meetings/documents/14566/03%20Financial%20Monitoring%20Report.pdf	Chief Financial Officer	Finance	01/11/2021 Superseded by Financial Monitoring Report 2021/22 - Period 5 - IB/48/2021/CG
20.09.2 021 IB/25/2 021/LL	Implementation of Management Review 2021/22	Both Council and Health Board	Council and Health Board jointly are directed to implement the Senior Management Team structure within the HSCP as outlined in the report.	Children & Families, Health & Communities, Finance, Planning & Resources	As detailed in the report. Funded within existing budgets.	20-Sep-21	20-Sep-21	Sep-22	Completed	No	N/A	Private Report	Head of Finance, Planning & Resources Chief Officer	Finance, Planning & Resources	
01.11.2 021 IB/48/2 021/CG	Financial Budget Monitoring Report - 2021/22 August 2021 - Period 5	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to deliver services in line with the IJB's Strategic Plan and within the associated budget outlined in Appendix 5	All functions outlined in Appendix 5 of the report.	As outlined in Appendix 5.	01-Nov-21	01-Nov-21	Jan-22	Superseded	Yes	20.09.2021 IB/38/2021/CG	https://www.inverclyde.gov.uk/meetings/documents/14708/03%20Financial%20Monitoring%202021-22%20-%20Period%20to%2031%20August%202021-22%20Period%205.pdf	Chief Financial Officer	Finance	24/01/2022 Superseded by Financial Monitoring Report 2021/22 - Period 7 - IB/11/2022/CG
01.11.2 021 IB/50/2 021/AM	Advanced Clinical Practice Proposal	Health Board only	The Health Board is directed to implement a team of 6 Advanced Nurse Practitioners to work across mental health services as outlined in the report.	Mental Health Services, Adult and Older Adult Inpatient, Community Services	As detailed in the report. Funded from Mental Health Transformation Fund and Medical Staffing Budget	01-Nov-21	01-Nov-21	Nov-22	Current	No	N/A	Private Report	Head of MH, ADRS and Homelessness	Mental Health	

Ref. no.	Report Title	Direction to	Full Text	Functions Covered by Direction	Budget Allocated by IJB to carry out direction(s)	Date Issued	With Effect From	Review Date	Status	Does this supersede, revise or revoke a previous Direction	Direction Reference revised or revoked	Link to IJB paper	Responsible Officer	Service Area	Most Recent Review (Date)
01.11.2	Homeless Service - Development of IJB/49/2 Rapid Rehousing Support Provision September 2021	Council only	The Council is directed to implement the Rapid Rehousing Support Service, including the creation of an integrated Homeless Team, with 10 additional posts, as outlined in the report in order to provide intensive, wraparound support to those with the most complex needs, often caught up in a cycle of repeat, prolonged periods of homelessness.	Homelessness Service	As detailed in the report. Funded within existing budgets including from ADP, ADRS and Rapid Rehousing Transition Plan	01-Nov-21	01-Nov-21	Nov-22	Current	No	N/A	Private Report	Head of MH, ADRS and Homelessness	Homelessness	
24.01.2	Financial Budget Monitoring - 2021/22 Period to 31 October 2021 - Period 7	Both Council and Health Board	Inverclyde Council and NHS GG&C jointly are directed to deliver services in line with the IJB's Strategic Plan and within the associated budget outlined in Appendix 5	All functions outlined in Appendix 5 of the report.	As outlined in Appendix 5.	24-Jan-22	24-Jan-22	Mar-22	Current	Yes	01.11.2021 IJB/48/2021/CG	https://www.inverclyde.gov.uk/meetings/documents/14897/03%20Financial%20Monitoring%20Report%202021-22%20-%20Period%20to%2031%20October%202021.%20Period%207.pdf	Chief Financial Officer	Finance	

Report To: Inverclyde Integration Joint Board - Audit Committee **Date:** 21 March 2022

Report By: Allen Stevenson, Interim Corporate Director (Chief Officer) Inverclyde Health & Social Care Partnership **Report No:** IJBA/09/2022/CG

Contact Officer: Craig Given **Contact No:** 01475 715381

Subject: EXTERNAL AUDIT – PROPOSED AUDIT FEE 2021/22

1.0 PURPOSE

- 1.1 The purpose of this report is to present the proposed Audit Scotland External Audit Fee for 2021/22, for IJB approval.

2.0 SUMMARY

- 2.1 The proposed audit fee for 2021/22 is £27,960.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that the IJB Audit Committee approves the proposed Audit Fee.

Allen Stevenson
Interim Chief Officer

Craig Given
Chief Financial Officer

4.0 BACKGROUND & PROPOSED ACTION

4.1 The audit fee is set nationally by Audit Scotland based on an estimate of the number of days and work involved in the audit. The proposed audit fee for 2021/22 is again a flat fee which is the same for all IJBs regardless of size or audit complexity. The proposed fee is £27,960. The Committee is asked to approve the proposed fee.

5.0 DIRECTIONS

5.1 Direction Required to Council, Health Board or Both	Direction to:	
	1. No Direction Required	X
	2. Inverclyde Council	
	3. NHS Greater Glasgow & Clyde (GG&C)	
	4. Inverclyde Council and NHS GG&C	

6.0 IMPLICATIONS

6.1 FINANCE

The financial implications are as outlined in this report. Recurring budget is in place to cover the Audit Fee.

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

Annually Recurring Costs / (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From	Other Comments
N/A					

LEGAL

6.2 There are no specific legal implications arising from this report.

HUMAN RESOURCES

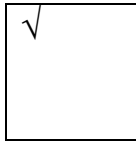
6.3 There are no specific human resources implications arising from this report.

EQUALITIES

6.4 There are no equality issues within this report.

Has an Equality Impact Assessment been carried out?

YES (see attached appendix)



NO – This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy. Therefore, no Equality Impact Assessment is required.

6.5 How does this report address our Equality Outcomes

There are no Equalities Outcomes implications within this report.

Equalities Outcome	Implications
People, including individuals from the above protected characteristic groups, can access HSCP services.	None
Discrimination faced by people covered by the protected characteristics across HSCP services is reduced if not eliminated.	None
People with protected characteristics feel safe within their communities.	None
People with protected characteristics feel included in the planning and developing of services.	None
HSCP staff understand the needs of people with different protected characteristic and promote diversity in the work that they do.	None
Opportunities to support Learning Disability service users experiencing gender based violence are maximised.	None
Positive attitudes towards the resettled refugee community in Inverclyde are promoted.	None

6.6 CLINICAL OR CARE GOVERNANCE IMPLICATIONS

There are no governance issues within this report.

6.7 NATIONAL WELLBEING OUTCOMES

How does this report support delivery of the National Wellbeing Outcomes

There are no National Wellbeing Outcomes implications within this report.

National Wellbeing Outcome	Implications
People are able to look after and improve their own health and wellbeing and live in good health for longer.	None
People, including those with disabilities or long term conditions or who are frail are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community	None
People who use health and social care services have positive experiences of those services, and have their dignity respected.	None
Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.	None
Health and social care services contribute to reducing health inequalities.	None
People who provide unpaid care are supported to look after their own health and wellbeing, including reducing any negative impact of their caring role on their own health and wellbeing.	None

People using health and social care services are safe from harm.	None
People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.	None
Resources are used effectively in the provision of health and social care services.	None

7.0 CONSULTATION

7.1 The draft plan was circulated by Audit Scotland to the Chief Financial Officer for comment and feedback and shared with the Chief Officer.

8.0 BACKGROUND PAPERS

8.1 None.