

REPORT TO ABERDEENSHIRE INTEGRATION JOINT BOARD 11 OCTOBER 2023

IJB AUDIT UPDATE REPORT

1 Recommendation

The Integration Joint Board (IJB) is recommended to:

1.1 Note the following key points and assurances in relation to audit matters.

2. Reason for Report

2.1 This report updates the Aberdeenshire IJB on key issues in relation to Audit.

3. Internal Audit Reports to Aberdeenshire Council Communities and Audit Committees

3.1 Three reports were presented to the Communities Committee as part of the Committee referral process.

3.2 The audits reported to Committee were as follows –

- **Stage 2 Referral Update – Aberdeenshire Alcohol and Drugs Partnership (ADP) Governance Arrangements**

Agreed that an update on ADP action plan provided the Committee with sufficient assurance on progress.

- **Stage 1 Referral – Assurance Review of IJB Governance**

Agreed to defer until the meeting of the Communities Committee in November 2023.

- **Stage 1 Referral – IJB Transformational Projects**

Agreed that the report did not provide adequate reassurance and requested the delivery of a Stage 2 workshop for the Committee to allow for further exploration of the issue and identification of potential improvement actions.

3.3 The Audit Committee were provided with an update on the outcome of the 3 referrals detailed in 3.2 and a further report was presented as part of the Committee review process relating to the following area –

- **Stage 1 – Assurance Review of Adults with Incapacity**

This item was deferred until Audit Committee meeting in December 2023.

4. Unaudited Annual Accounts 2022/23 - Update

- 4.1 The audit of the annual accounts is continuing and the final audited accounts are planned to be presented to the IJB Audit Committee for consideration in late October 2023.

5. Risk Assurance Group Update – August 2023

5.1 Risk Register

There are currently 55 risks on the register with a review ongoing of these by the partnership.

Discussion focused on the update process and the communication issued to risk owners with the requirement for risks to be reviewed on an 8 weekly basis.

Details to be added stating when individuals have reviewed the risk and when the risk has been presented to the Risk Assurance Group.

5.2 Update on Risk 2616 – North Aberdeenshire School Nurse Risk Assessment

The main points, outlining the risks and mitigations were covered by the service lead.

Discussion followed around the information on levels of referrals and the confirmation that there is data around this. A single point of contact (SPOC) for child protection reports and referrals was set up a few years ago. Specialist nurses in child protection submit quarterly reports. Infant feeding coordination submits a monthly report. A dashboard has also been set up, which has data on referrals. Grampian-wide, looking to have an agreed data set across the 3 partnerships.

It was noted that the priorities of care have been really helpful.

National picture was discussed with confirmation that there is a national school nurse implementation group, with representation from NHSG. These issues are not specific to Aberdeenshire and are recognised nationally.

5.3 Update on Risk 3362 – Impact on service provision of Marie Curie out of hour contract

Service lead outlined the risks and actions being taken supporting the service provision.

5.4 Reporting to IJB Audit Committee

Currently sitting with 13 open audits reports with 70 recommendations.

- ❖ 9 minor
- ❖ 44 moderate
- ❖ 17 major – these are due December/February/March.
- ❖ 11 overdue – working with internal audit on these.

Reviewing officer support and ensuring tracker is updated timeously.

5.5 **Audit Outcomes and Forthcoming Audits**

Audit Outcomes and Forthcoming audits to be a standing agenda item.

5.6 **Update from Governance SLWG**

An action tracker is now in place and many actions are linked to IJB governance and transformational projects audits.

A self-assessment tool is being designed and this is linked to one of the recommendations, review of IJB governance handbook.

This group is a short life working group and will need to look at the future of the group and being clear of responsibilities.

5.7 Date of Next Meeting - Tuesday 17th October.

6. **Forthcoming Internal Audits**

6.1 **Self-Directed Support**

Rationale for review

The objective of the audit is to obtain assurance that payments made relating to Self-Directed Support are adequately controlled. The nature and subject matter of the service provided presents the potential for financial and reputational risks, as well as risks to supported individuals, which can be mitigated through appropriate internal controls. The audit will seek to ensure these are in place and operating effectively.

Scope and risk level of review

This review will offer the following judgements:

- An overall **net risk** rating at the **Service** level.
- Individual **net risk** ratings for findings.

Detailed scope areas

- Governance Arrangements – including Policies, Procedures, Training, and the relevant Plans and Arrangements in place.
- Packages and Payments – including reviewing actual payments and packages, ensuring they did not exceed the assessment of needs and where appropriate, contributions from clients are being recovered.
- Management Assurance – including the provision of management information and reporting.

The scope requires to be formally signed off and the date of completion of the audit report is anticipated to be mid-December 2023.

7. IJB Audit Committee Governance

7.1 IJB Audit Development Session - Audit Self-Assessment

A development session was held on 22 September with members of the IJB Audit Committee and officers of the IJB.

Outline was provided to the group that each of the main IJB groups (IJB, IJB Audit, Clinical and Adult Social Care Group and Strategic Planning Group) are required to self-assess based on a number of quality standards.

The session was facilitated by Aberdeenshire Council's Legal Service. The group were taken through the scoring mechanism that had been developed and each of the 4 quality standards that include a number of questions to be answered by the group as a collective.

This session focussed on the purpose, the scoring system and a collective review of each of the standards.

The agreed next stage is to allow members to reflect on the session and the scoring matrix ahead of a follow up session in October where the group will agree on the scores of the Committee and feedback to Legal Services as part of the overall IJB Continuous Improvement agenda.

7.2 IJB Audit Committee Meetings

A report will be presented to the next IJB Audit Committee proposing additional IJB Audit Committee meeting dates with the IJB Audit Committee meeting on separate dates from the IJB to avoid overlap of business on the same day.

8. Risks

8.1 IJB Risk 1 Sufficiency and affordability of resource.

9. Monitoring

9.1 The Chief Officer and the Legal Monitoring Officer within Business Services of the Council have been consulted in the preparation of this report and any comments have been incorporated.

10 Equalities, Staffing and Financial Implications

10.1 An equality impact assessment is not required because the recommended actions are not considered to have a differential impact on people with protected characteristics.

10.2 Any staffing and financial implications arising directly as a result of this report are narrated in the report.

Amy Anderson

Chair – IJB Audit Committee

Report prepared by

Chris Smith - Chief Finance and Business Officer - 27 September 2023