

Agenda Item 8

National Audit and Inspection Report Overview



1. Executive Summary

- 1.1 This report provides an overview of all national audit, scrutiny and inspection reports published since the previous Audit Committee meeting held on 4 December 2020. This report is a standing agenda item.
- 1.2 A total of 7 reports have been published by Audit Scotland and 1 report via the Care Inspectorate.

2. Recommendations

The Audit Committee is asked to:

- 2.1 note the content of this report.

3. Background

- 3.1 In June 2019, the IJB Audit Committee agreed to receive a “National Audit and Inspection Report Overview” paper as a standing item at each meeting. This arrangement recognised that reports may need to be considered across a wide range of settings (such as the IJB or Clinical and Care Governance Committee) dependent on the nature of the report and the associated recommendations. However, it was also recognised that as a minimum, all national reports must be noted by Audit Committee and where action plans are required, these must be developed and monitored.
- 3.2 Where reports are not considered by the IJB or Clinical and Care Governance Committee (CCGC), a summary of the reports will be included in the overview paper.
- 3.3 Audit Committee members can highlight if they think that more detailed consideration of any paper is required, and if so, what the appropriate reporting route would be.

4. National Reports

- 4.1 The table below lists the National reports that have been issued since the last update presented to the December 2020 Audit Committee.

Author	Title of report	Publication Date	Reported to:
Audit Scotland	Covid19 Balancing the budget in councils	21/12/20	IJB Audit Committee 5 Mar 2021
Audit Scotland	Covid19 Going concern in the public sector	21/12/20	IJB Audit Committee 5 Mar 2021
Audit Scotland	Digital Progress in Local Government	06/01/21	IJB Audit Committee 5 Mar 2021
Audit Scotland	NHS Forth Valley 2019/20 Annual Audit Report	06/01/21	NHSFV Audit Committee Aug 2020
Audit Scotland	Local Government in Scotland – Financial Overview 2019/20	26/01/21	IJB Audit Committee 5 Mar 2021
Audit Scotland	Falkirk IJB annual report 2019/20	27/01/21	IJB meeting 20 Nov 2020
Scottish Government	Independent Review of Social Work Adult Services in Scotland	03/02/21	IJB Audit Committee 5 Mar 2021

- 4.2 The Audit Scotland report entitled “*Covid 19 Balancing the budget in councils*” is a guide for Local Government auditors issued in response to a number of queries surrounding the legislative and policy requirement to achieve a balanced budget in the context of Covid-19. The guide outlines the Local Authority legal financial framework and considers the potential remedial action a Council may take in the event of a projected shortfall.
- 4.3 The Audit Scotland report entitled “*Covid-19 Going concern in the public sector*” is a guide for Public Sector auditors issued in response to a range of queries related to the going concern concept for public bodies in the context of Covid-19. The guide considers the going concern principle as it applies to the public sector and its inter-relationship with financial sustainability. Audit Committee members will be aware that this was a key focus of the audit of the 2019/20 IJB annual accounts.
- 4.4 The Audit Scotland report entitled “*Digital Progress in Local Government*” is based on the findings of various case studies undertaken within six council areas¹, focusing on the implementation of digital transformation plans. The report highlights that Covid-19 has accelerated plans in many areas but recognises that digital exclusion is an issue for many individuals (particularly those who tend to use traditional channels or rely on community facilities such as libraries to access digital public services).
- 4.5 The report entitled “*NHS Forth Valley 2019/20 Annual Audit Report*” was

¹ Clackmannanshire, Fife, Glasgow City, North Lanarkshire, Perth & Kinross, and Western Isles Councils.

published by Audit Scotland in 6 Jan 2021. The report was previously presented to NHS Forth Valley's Audit Committee in Aug 2020. There are no issues arising from the findings of the report that impact on the IJB.

- 4.6 The Audit Scotland report entitled "*Local Government in Scotland Financial Overview 2019/20*" was published on 26 Jan 2021. The report provides a high-level independent analysis of the financial performance of Councils and IJBs during 2019/20 and considers the financial outlook going forward. The report confirms that many IJBs continued to rely on additional funding from partners in order to breakeven during 2019/20 and also referred to high turnover and instability in key leadership posts. The outlook focussed on financial sustainability, in terms of the ongoing requirement for efficiency savings and the impact of Covid-19.
- 4.7 The report entitled "*Falkirk IJB Annual Report 2019/20*" was published by Audit Scotland on 27 Jan 2021. Members of the Audit Committee will be aware that the findings of the report were previously presented to and considered by the IJB on 20 Nov 2020.
- 4.8 The "*Independent Review of Social Work Adult Services in Scotland*" was published on 3 February 2020. The report makes a total of 53 recommendations, mainly in relation to outcomes for service users, however there are a number of significant governance and financial implications for the IJB.

5. Inspection Reports

- 5.1 The table below presents the Inspection reports that have been issued since the last update presented to the September 2020 Audit Committee

Publication Date	Inspection	Inspection Date	Action Plan	Reported to
<u>Caledonian Court</u>				
20/11/20	Care Inspectorate	Unannounced	10/11/20	CCGC Feb 21

- 5.2 Under the duties placed on the Care Inspectorate (CI) by the Coronavirus (Scotland) (No.2) Act, the CI report to the Scottish Parliament fortnightly on their inspection activity. The reports set out which care home services were inspected during those two weeks and the findings of those inspections. A summary is presented below.

Publication Date	Service	Evaluation of Service	Further Action	Reported to
26/11/20	Caledonian Court	Unannounced inspection of the care home on 9 and 10 November with Healthcare Improvement Scotland. Overall evaluation for key question 7 'How good is our care and support during the COVID-19 pandemic?' –	Forth Valley health and social care partnership were informed of CI findings.	CCGC Feb 21

Publication Date	Service	Evaluation of Service	Further Action	Reported to
		adequate Quality indicator (QI) evaluations: QI 7.1 People's health and wellbeing – Adequate QI 7.2 Infection prevention and control practices – Adequate QI 7.3 Staffing arrangements – Adequate		
10/12/20	No local services inspected			
23/12/20	Caledonia Court	The home was inspected on 15 December following recommendations from previous unannounced visit on 9 th & 10 th November 2020.	Improvements were made and the service evaluations did not change. Findings were reported to Forth Valley health & social care partnership.	
07/01/21	No local services inspected			
21/01/21	No local services inspected			
04/02/21	No local services inspected			

6. Conclusions

- 6.1 This report provides a summary of all relevant national audit and inspection reports which have been published since the last Audit Committee meeting. The vast majority of the reports have already been considered by the Clinical Care Governance Committee and are therefore for noting.
- 6.2 However the reports published by Audit require to be formally considered by the Audit Committee.

Resource Implications

There are no resource implications arising from this report.

Impact on IJB Outcomes and Priorities

The IJB is committed to delivering on the outcomes and principles set out in the Strategic Plan. This requires effective planning for services, appropriate governance structures and assurance that safe, high quality services are in place. The National Audit reports and Inspection Reports provide standards and recommendations that the IJB can assess itself against to ensure delivery of the Strategic Plan.

Directions

A new Direction or amendment to an existing Direction is not required as a result of the recommendations of this report.

Legal & Risk Implications

There are no specific legal implications arising from this report. The key risk implications relate to the potential risk of harm to service users, financial risk and reputational risk arising from failure to consider the findings of National Audit reports and Inspection reports.

Consultation

There are no consultation requirements arising from this report.

Equalities Assessment

There are no equality implications arising from this report.

7. Report Author

Jillian Thomson, Chief Finance Officer

8. List of Background Papers

N.A

9. Appendices

N.A