

East Lothian Integration Joint Board



REPORT TO: East Lothian IJB – Audit and Risk Committee

MEETING DATE: 19 March 2019

BY: Senior Auditor

SUBJECT: Internal Audit Report – Participation and Engagement

1 PURPOSE

- 1.1 To inform the Audit and Risk Committee of the recently issued audit report on Participation and Engagement.

2 RECOMMENDATION

- 2.1 That the Audit and Risk Committee note the contents of the audit report.

3 BACKGROUND

- 3.1 A review of Participation and Engagement was recently undertaken as part of the Audit Plan for 2018/19.
- 3.2 The main objective of the audit was to review the adequacy and effectiveness of the Participation and Engagement arrangements operating within the IJB.
- 3.3 The main findings from our audit work are outlined in the attached report.

4 ENGAGEMENT

- 4.1 The findings from the review have been discussed with Management, but do not require wider engagement.

5 POLICY IMPLICATIONS

- 5.1 None

6 INTEGRATED IMPACT ASSESSMENT

- 6.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

7 RESOURCE IMPLICATIONS

- 7.1 Financial - None
- 7.2 Personnel - None
- 7.3 Other - None

8 BACKGROUND PAPERS

- 8.1 None

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INTERNAL AUDIT REPORT
ON
PARTICIPATION AND ENGAGEMENT

Date: March 2019

Ext: 7311

**EAST LoTHIAN IJB – INTERNAL AUDIT
PARTICIPATION AND ENGAGEMENT**

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EAST LoTHIAN IJB – INTERNAL AUDIT PARTICIPATION AND ENGAGEMENT

1. INTRODUCTION

- 1.1 As part of the Audit Plan for 2018/19, a review was undertaken of the participation and engagement arrangements operating within the East Lothian IJB.
- 1.2 Our main findings, recommendations and action plan from the review, form the basis of this report.

2. OBJECTIVE

- 2.1 The main objective of the audit was to review the adequacy and effectiveness of the participation and engagement arrangements operating within the IJB.

3. FINDINGS

3.1 Integration Scheme

- 3.1.1 The East Lothian Integration Scheme states that “The Parties will support the Chief Officer, who will on behalf of the IJB, produce a strategy for engagement with, and participation by members of the public, representative groups or other organisations in relation to the decisions about the carrying out of integration functions”.
- 3.1.2 The Integration Scheme further states:
 - The IJB’s participation and engagement strategy will be produced before the date the IJB approves the Strategic Plan for public consultation.
 - The development of the participation and engagement strategy will be achieved using a collaborative response, involving the membership of the East Lothian Strategic Planning Group.

3.2 Strategic Plan

- 3.2.1 We note that the East Lothian IJB Strategic Plan 2016-2019 was approved by the IJB in February 2016. The Strategic Plan states:
 - The Health and Social Care Partnership is committed to the principles of effective communication and engagement with our staff, service users and carers, partners and the public. This means having a clear framework in place to promote systematic and meaningful engagement and involves engaging a population that is interested in their health and care, empowered to make healthier choices, has a voice in the design of local services, and uses services appropriately.
 - It is vital that as a Partnership we develop our stakeholder relations and the way we seek and use their feedback to inform decision making. This is an important element of our development process and one that will help to ensure the future success of the Partnership.
 - Our developing communication and engagement strategy will set out how the Partnership will inform, engage and involve local people, partners, stakeholders and care professionals. It will identify who we need to inform and involve, how we will

do this, the outcomes we want to achieve and will clearly reflect the commitment to meaningful engagement with our key audiences, communities of interest and the wider public about the development of health and social care services in East Lothian.

3.2.2 We note that a draft East Lothian IJB Strategic Plan 2019-2022 was presented to the IJB on 28 February 2019 and that the final version of the Strategic Plan requires to be issued by 31 March 2019. The draft Strategic Plan states “The next stage of the plan’s development will come from engagement and consultation with communities, service users, across the county. This will ensure the draft plan is brought to the attention of as wide an audience as possible. It will also allow the IJB to hear of, and where possible incorporate, the views and priorities of East Lothian’s communities, partners and stakeholders in service development and delivery”.

3.3 Engagement

3.3.1 We sought to review the development and implementation of the IJB’s approach to participation and engagement. We note that the East Lothian IJB Engagement Strategy 2017-2020 was presented to the IJB meeting of 22 March 2018 – we are advised that this Strategy supersedes the 2014-2018 Communications and Engagement Strategy adopted by the East Lothian Shadow IJB in 2014.

3.3.2 The purpose of the East Lothian IJB Engagement Strategy 2017-2020 is to:

- ensure there is a clear and effective participation and engagement approach which is at the heart of reforming health and social care services locally;
- enable the Partnership’s vision and how it works to become a reality;
- inform decision making processes that drive strategy and inform the carrying out of delegated functions.

3.3.3 The Engagement Strategy highlights that “engagement is key to everything that we do” and that “it is more important than ever that people are fully engaged”. The Engagement Strategy states that the IJB will use a wide range of engagement techniques appropriate to peoples’ needs and will carry out both short and longer term engagement. The Engagement Strategy outlines the engagement mechanisms than can be used.

3.3.4 We note that the Engagement Strategy states that the IJB intends to work to the National Standards for Community Engagement, which are good practice principles designed to support and inform the process of community engagement and improve what happens as a result. Appendix 1 to the Engagement Strategy provides details of how the National Standards for Community Engagement will be met. We note that there are seven National Standards:

- Inclusion – we will identify and involve the people and organisations that are affected by the focus of the engagement.
- Support – we will identify and overcome any barriers to participation.
- Planning – there is a clear purpose for the engagement, which is based on a shared understanding of community needs and ambitions.
- Working Together – we will work effectively together to achieve the aims of the engagement.
- Methods – we will use methods of engagement that are fit for purpose.
- Communication – we will communicate clearly and regularly with the people, organisations and communities affected by the engagement.

- Impact – we will assess the impact of the engagement and use what we have learned to improve our future community engagement.

3.3.5 We sought to review the information that is currently provided to the IJB on the engagement activities being undertaken. We note that the IJB report template includes a section on Engagement – from our review of a sample of reports presented to the IJB between March 2018 and February 2019, we found that in some cases very little information was provided in the Engagement section of the report template. However from our review of individual reports, we found that clear information on the engagement undertaken had been provided in a number of instances, for example:

- the report on the re-provision of Belhaven and Edington Community Hospitals, Eskgreen and Abbey Care Homes, presented to the IJB on 13 December 2018, provided details of engagement meetings and events;
- the update report on progress to date on the implementation of the East Lothian Carers Strategy and the Carers (Scotland) Act 2016, presented to the IJB on 28 February 2019, contained a detailed chronology of key events throughout the project, including details of engagement undertaken.

3.3.6 In addition, we note that there are a number of other examples of participation and engagement – the development of the framework agreement for the provision of Care at Home and Housing Support services (which commenced on 1 April 2017 for a five year period) was supported by 18 months of engagement and consultation, including stakeholder events, workshops, surveys and feedback newsletters and we are advised that the feedback received informed the tender for the new framework. We are further advised that there is currently an ongoing engagement and consultation on community support services for adults with complex needs, including a well-documented programme of events, newsletters and a blog site on which people can comment on progress.

3.3.7 The East Lothian Consultation Hub contains details of consultation/engagement exercises being undertaken and we note that key IJB strategies and improvement plans are publicised on the Consultation Hub – the reasons for the consultation are clearly outlined and individuals, local groups, community groups, partners in area partnerships and the third and independent sectors are all encouraged to provide their views via an online survey. We note that in some cases, the response received to the public consultation via the Consultation Hub has been poor. We are advised however, that the Consultation Hub is not appropriate for all stakeholders and that a range of alternative consultation methods are employed, for example for the East Lothian Carers Strategy, there was engagement with specialised service user and carer focus groups, supported by advocacy agencies, while for the draft Transport Policy, although there was little response online, it has been subject to extensive consultation.

3.4 Monitoring and Review

3.4.1 We sought to establish the arrangements in place for monitoring and reviewing the implementation of the IJB's Engagement Strategy.

3.4.2 We note that the IJB's Engagement Strategy includes a section on monitoring and evaluating engagement activities. The Strategy states "we will ensure that we find out how people feel about the various engagement activities they take part in, monitor uptake and usefulness of feedback from various sources, and continue to work with partners in the third sector for their feedback and experience".

3.4.3 We note that the National Standard for Community Engagement on Impact, seeks to assess the impact of the engagement and identifies a set of indicators that can be used to show progress towards meeting the standard. The indicators are:

- The outcomes the engagement process intended to achieve are met.
- Decisions which are taken reflect the views of participants in the community engagement process.
- Local outcomes, or services, are improved as a result of the engagement process.
- Participants have improved skills, confidence and ability to take part in community engagement in the future.
- Partners are involved in monitoring and reviewing the quality of the engagement process and what has happened as a result.
- Feedback is provided to the wider community on how the engagement process has influenced decisions and what has changed as a result.
- Learning and evaluation helps to shape future community engagement processes.

3.4.4 We note that reports are not currently submitted to the IJB on the effectiveness and impact of the engagement activities undertaken to ensure that they are achieving their purpose, nor is there evidence of periodic assessments being carried out to measure progress towards meeting the National Standards for Community Engagement.

4. CONCLUSIONS

4.1 Our review of participation and engagement found that an IJB Engagement Strategy 2017-2020 is in place, which outlines the engagement mechanisms that the IJB will use. In addition, from our review of individual reports, we found that in a number of cases clear information was provided on the level of engagement undertaken.

4.2 Areas identified with scope for improvement include the arrangements in place for monitoring, reviewing and reporting on the effectiveness and impact of the engagement activities being undertaken by the IJB. Detailed recommendations are contained in our attached action plan.

4.3 Internal Audit can provide **reasonable assurance** on the adequacy and effectiveness of the arrangements in place within the IJB for participation and engagement.

4.4 The weaknesses identified during the course of our audit have been brought to the attention of Management. The weaknesses outlined are those, which have come to our attention during the course of our normal audit work and are not necessarily all of the weaknesses, which may exist. Although we include recommendations, it is the responsibility of Management to determine the extent of the participation and engagement arrangements within the IJB.

4.5 The content of this report has been discussed with the Group Service Manager – Planning and Performance and the Communications/Engagement Officer to confirm factual accuracy. The assistance and cooperation received during the course of our review is gratefully acknowledged.

5. ACTION PLAN

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
5.1	Management should ensure that appropriate processes are in place for monitoring, reviewing and reporting on the effectiveness and impact of the engagement activities being undertaken by the IJB.	Medium	Group Service Manager – Planning and Performance	Agreed		June 2019
5.2	<p>Consideration should be given to an annual report being submitted to the IJB on the implementation of the IJB's Engagement Strategy.</p> <p>The report should include an assessment of whether engagement activities are achieving their purpose and should measure progress towards meeting the National Standards for Community Engagement.</p>	Medium	Group Service Manager – Planning and Performance	Agreed		June 2019

6. Grading of Recommendations

In order to assist Management in using our reports, we categorise our recommendations according to their level of priority as follows:

Level	Definition
High	Recommendations which are fundamental to the system and upon which Management should take immediate action.
Medium	Recommendations which will improve the efficiency and effectiveness of the existing controls.
Low	Recommendations concerning minor issues that are not critical, but which may prevent attainment of best practice and/or operational efficiency.

7. Levels of Assurance – Definitions

In order to provide management with an assessment of the adequacy and effectiveness of their systems of internal control, the following definitions are used.

Opinion	Definition
Substantial Assurance	There is a sound system of internal control designed and operating in a way that gives a reasonable likelihood that the objectives will be met.
Reasonable Assurance	Whilst there is a sound system of internal control, there are minor weaknesses, which may put some of the objectives at risk or there is evidence of non-compliance with some of the controls, which may put some of the objectives at risk.
Moderate Assurance	The system of internal control is broadly reliable, however there are a number of weaknesses, which put some of the objectives at risk or there is evidence that the level of non-compliance with controls put some of the objectives at risk.
Limited Assurance	Weaknesses in the system of internal control are such as to put the objectives at risk or the level of non-compliance puts the objectives at risk.
No Assurance	Control is generally weak leaving the system open to error or abuse, or there is significant non-compliance with basic controls, which leaves the system open to error or abuse.