

Agenda

West Dunbartonshire
Health & Social Care Partnership

West Dunbartonshire Health & Social Care Partnership Board Audit and Performance Committee

Date: Wednesday, 1 April 2020

Time: 14:00

Venue: Civic Space,
Council Offices, 16 Church Street, Dumbarton

Contact: Craig Stewart, Committee Officer
Tel: 01389 737251 craig.stewart@west-dunbarton.gov.uk

Dear Member

Please attend a meeting of the **West Dunbartonshire Health & Social Care Partnership Board Audit and Performance Committee** as detailed above.

The business is shown on the attached agenda.

Yours faithfully

JULIE SLAVIN

Chief Financial Officer of the
Health & Social Care Partnership

Distribution:-

Voting Members

Marie McNair (Chair)
Allan Macleod (Vice-Chair)
Denis Agnew
John Mooney
Rona Sweeney
Audrey Thompson

Senior Management Team – Health & Social Care Partnership
Mr C. McDougall
Ms Z. Mahmood

Date of issue: 19 March 2020

**WEST DUNBARTONSHIRE HEALTH & SOCIAL CARE PARTNERSHIP BOARD
AUDIT AND PERFORMANCE COMMITTEE**

WEDNESDAY, 1 APRIL 2020

- 1 APOLOGIES**
- 2 DECLARATIONS OF INTEREST**
- 3 MINUTES OF PREVIOUS MEETING 5 - 10**

Submit for approval, Minutes of Meeting of the West Dunbartonshire Health & Social Care Partnership Board Audit and Performance Committee held on 11 December 2019.
- 4 INTERNAL AUDIT – ANNUAL PLAN 2020 - 2021 11 - 18**

Submit report by the Chief Internal Auditor providing the Internal Audit Strategy and Plan for 2020-2021 to Audit Committee for approval.
- 5 AUDIT SCOTLAND: WEST DUNBARTONSHIRE INTEGRATED JOINT BOARD ANNUAL AUDIT PLAN 2019/20 19 - 36**

Submit report by the Chief Financial Officer presenting the Annual Audit Plan produced by the HSCP Board's external auditors, Audit Scotland, for the audit of the financial year ending 31 March 2020.
- 6 WEST DUNBARTONSHIRE ALCOHOL AND DRUG PARTNERSHIP (ADP) – GOVERNANCE ARRANGEMENTS 37 - 40**

Submit report by the Health Improvement Lead briefing on the new requirements of the Scottish Government Partnership Delivery Framework to Reduce the Use of and Harm from Alcohol and Drugs in relation to the expectations of local governance arrangements for ADPs and seeking agreement that, in order to fulfil these requirements, the West Dunbartonshire Alcohol and Drug Partnership should report annually to the HSCP Audit and Performance Committee.

7/

**7 HSCP EQUALITY OUTCOMES AND MAINSTREAMING
REPORT 2020 - 2024**

41 - 69

Submit report by the Health Improvement Lead providing the biennial HSCP Equality Outcomes and Mainstreaming Report 2020 – 2024 required as part of the HSCP duties in relation to the Equality Act 2010.

**WEST DUNBARTONSHIRE HEALTH AND SOCIAL CARE
PARTNERSHIP BOARD AUDIT AND PERFORMANCE COMMITTEE**

At a Meeting of the West Dunbartonshire Health and Social Care Partnership Board Audit and Performance Committee held in the Council Chamber, Clydebank Town Hall, Dumbarton Road, Clydebank on Wednesday, 11 December 2019 at 2.00 p.m.

Present: Bailie Denis Agnew and Councillors Marie McNair and John Mooney, Mr Allan MacLeod and Ms Audrey Thompson.

Attending: Beth Culshaw, Chief Officer; Julie Slavin, Chief Financial Officer; Wendy Jack, Interim Head of Strategy, Planning & Health Improvement; Jo Gibson, Head of Community Health & Care Services; Jonathan Hinds, Head of Children's Health, Care & Criminal Justice (Chief Social Work Officer); Colin McDougall, Audit and Risk Manager; Kirsteen MacLennan, Integrated Operations Manager, FIT Hospital Discharge Team; Lynne McKnight, Integrated Operations Manager, Care at Home; Bernadette Smith, Integrated Operations Manager, Residential and Day Services; Fraser Downie, Nurse Team Leader; Nigel Ettles, Principal Solicitor and Gabriella Gonda, Committee Officer.

Also Attending: Mr Richard Smith, Senior Audit Manager and Ms Gemma McNally, Auditor, Audit Scotland and Stephen Rankin, Strategic Inspector, Care Inspectorate.

Apology: An apology for absence was intimated on behalf of Ms Rona Sweeney.

Councillor Marie McNair in the Chair

DECLARATIONS OF INTEREST

Councillor McNair declared an interest in Item 9 – Care Inspectorate Reports for Support Services Operated by the Independent Sector in West Dunbartonshire, being an employee of Key Housing Association and advised that she would leave the meeting during consideration of that item.

MINUTES OF PREVIOUS MEETING

The Minutes of Meeting of the West Dunbartonshire Health & Social Care Partnership Board Audit Committee held on 25 September 2019 were submitted and approved as a correct record.

REVIEW OF AUDIT COMMITTEE TERMS OF REFERENCE

A report was submitted by the Chief Financial Officer presenting the New Terms of Reference of the Audit Committee as approved by the HSCP Board.

After discussion and having heard the Chief Financial Officer in further explanation of the report and in answer to Member's questions, the Committee agreed:-

- (1) to note the change of name of the Audit Committee to the "Audit and Performance Committee"; and
- (2) to approve the nominations extending the non-voting membership of the Audit and Performance Committee with two representatives from the Strategic Planning Group, namely Anne MacDougall and John Paterson.

AUDIT PLAN PROGRESS REPORT

A report was submitted by the Chief Internal Auditor – Health & Social Care Partnership Board providing an update on:

- (a) the planned programme of audit work for the year 2019/20, and any remaining actions from the previous year, in terms of the internal audit work undertaken at West Dunbartonshire Council and NHS Greater Glasgow and Clyde that may have an impact upon the West Dunbartonshire Health & Social Care Partnership Board;
- (b) the agreed actions from the audit of the Partnership Board's Code of Good Governance; and
- (c) progress of actions from the Annual Audit Report 2018/19 from Audit Scotland.

After discussion and having heard the Chief Internal Auditor - Health & Social Care Partnership Board in further explanation of the report and in answer to Member's questions, the Committee agreed to note the progress made in relation to the Audit Plan for 2019/20 and in progressing other action plans.

REVIEW OF AUDIT COMMITTEE

A report was submitted by the Chief Internal Auditor – Health & Social Care Partnership Board advising of the results of a self-assessment exercise carried out

recently by the Chair of the Audit Committee (now known as the Audit and Performance Committee) and the Chief Internal Auditor for the HSCP Board. After discussion and having heard the Audit Manager in further explanation of the report and in answer to Member's questions, the Committee agreed:-

- (1) to note the Self-Assessment of Good Practice – Appendix 1 to the report which shows that the Audit Committee largely complies with Cipfa good practice and thereby can assess its performance as generally meeting the Cipfa requirements;
- (2) to approve the actions identified and to request that these are now progressed;
- (3) to note that progress on the completion of the agreed actions would be reported annually to the Audit Committee; and
- (4) to note the knowledge and skills framework – Appendix 3 to the report as potential areas for development within the Elected Member development programme.

CARE INSPECTORATE INSPECTION PROCESS FOR OLDER PEOPLE'S CARE HOMES OPERATED BY INDEPENDENT SECTOR IN WEST DUNBARTONSHIRE

A report was submitted by the Interim Head of Strategy, Planning and Health Improvement providing an update on Care Inspectorate inspection reports for two independent sector residential older peoples' Care Homes located within West Dunbartonshire.

After discussion and having heard the Head of Community Health & Care Services in further explanation of the report, the Committee agreed to note the content of the report.

CARE INSPECTORATE INSPECTION REPORT FOR HILLVIEW OLDER PEOPLE'S CARE HOME

A report was submitted by the Interim Head of Strategy, Planning and Health Improvement providing an update on a Care Inspectorate inspection report for an independent sector residential older peoples' Care Home located within West Dunbartonshire that received the inspection grade of 3.

After discussion and having heard the Head of Community Health & Care Services in further explanation of the report and in answer to Member's questions, the Committee agreed:-

- (1) to note the content of the report;
- (2) that a briefing note providing an update on the progress of activity in relation

to the inspection report would be circulated to Members of the Committee;

- (3) that a further report would be presented to the Committee on Hillview Care Home.

CARE INSPECTORATE REPORTS FOR SUPPORT SERVICES OPERATED BY THE INDEPENDENT SECTOR IN WEST DUNBARTONSHIRE

Note: Having earlier declared an interest in the following item of business, the Chair, Councillor McNair left the meeting at this point, and the Vice Chair, Mr Allan MacLeod resumed the position.

Mr Allan MacLeod in the Chair

A report was submitted by the Interim Head of Strategy, Planning and Health Improvement providing information on the most recent Care Inspectorate inspection reports for three independent sector support services operating within the West Dunbartonshire area.

After discussion and having heard the Interim Head of Strategy, Planning and Health Improvement in further explanation of the report, the Committee agreed to note the content of the report.

Note: Councillor McNair returned to the meeting after discussion of this item.

Councillor Marie McNair in the Chair

ADJOURNMENT

Having heard the Chair Councillor McNair, it was agreed to adjourn for a short period. The Committee reconvened at 2.48 p.m. with all Members listed in the sederunt in attendance.

A presentation was then given by the Head of Community Health & Care Services; the Integrated Operations Manager, Care at Home; the Integrated Operations Manager, Residential and Day Services and the Integrated Operations Manager, Adult Care Team, FIT Hospital Discharge Team on Performance Focus: Health and Community Care.

Following questions from Members, the Chair, Councillor McNair thanked Ms Gibson, Ms McKnight, Ms Smith and Ms MacLennan for their informative presentation.

CLYDE COURT CARE HOME UPDATE

A report was submitted by the Interim Head of Strategy, Planning and Health

Improvement presenting an update on work being undertaken to support the improvement of Care Inspectorate grades at Clyde Court Care Home.

After discussion and having heard the Head of Community Health & Care Services in further explanation of the report and in answer to Member's questions, the Committee agreed to note the work being undertaken to support Clyde Court Care Home to consolidate improvements with meeting the assessed needs of the service users.

STRATHLEVEN CARE HOME UPDATE

A report was submitted by the Interim Head of Strategy, Planning and Health Improvement presenting an update on work being undertaken to support the improvement of Care Inspectorate grades at Strathleven Care Home.

After discussion and having heard the Head of Community Health & Care Services in further explanation of the report and in answer to Members' questions, the Committee agreed to note the content of the report.

CAREWATCH (INVERCLYDE, AYRSHIRE, DUNBARTONSHIRE & ARGYLL & BUTE) UPDATE

A report was submitted by the Interim Head of Strategy, Planning and Health Improvement presenting an update on work being undertaken to support the improvement of Care Inspectorate grades at Carewatch (Inverclyde, Ayrshire, Dunbartonshire & Argyll & Bute).

After discussion and having heard the Interim Head of Strategy, Planning and Health Improvement in further explanation of the report, the Committee agreed to note the work being undertaken by Carewatch (Inverclyde, Ayrshire, Dunbartonshire & Argyll & Bute) to consolidate improvements with meeting the assessed needs of the service users.

The Chair informed the Committee that this would be the last meeting which Colin McDougall, Audit and Risk Manager; and Wendy Jack, Interim Head of Strategy, Planning & Health Improvement would be attending as they would be leaving the service in December 2019 and January 2020. On behalf of the Committee, Councillor McNair thanked Mr McDougall and Ms Jack for all their hard work over the years and wished them well in the future.

The meeting closed at 3:55 p.m.

**WEST DUNBARTONSHIRE HEALTH & SOCIAL CARE PARTNERSHIP BOARD
(IJB)**

Audit Committee: 1 April 2020

Subject: Internal Audit – Annual Plan 2020-2021

1. Purpose

- 1.1 The purpose of this report is to provide the Internal Audit Strategy and Plan for 2020-2021 to Audit Committee for approval.

2. Recommendations

- 2.1 It is recommended that the Audit Committee approve the Internal Audit Plan for 2020-2021.

3. Background

- 3.1 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.
- 3.2 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 arrangements for risk management, governance and control of the delegated resources.
- 3.3 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.
- 3.4 The Chief Internal Auditor will prepare an annual internal audit plan which will be subject to consideration and approval by the IJB Audit Committee.
- 3.5 The provision of Internal Audit services for the IJB is delivered by West Dunbartonshire Council through a directly employed in-house team.. From 2018/19 onwards, a recharge of £10,000 has been made from the Council to the IJB to reflect the cost of services provided by the Council's Internal Audit Team. It is proposed that the same recharge be applied in 2020-2021.

4 Main issues

- 4.1 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 West Dunbartonshire Integration Joint Board.

- 4.2** The proposed Internal Audit Strategy and Plan for 2020-2021 is set out at Appendix 1.
- 4.3** The total budget for the Internal Audit Annual Audit Plan for 2020-2021 has been set at 40 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.
- 4.4** 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.
- 4.5** The Internal Audit Strategy and Plan for 2020-21 relating to West Dunbartonshire Council can be found on their website. This plan sets out the operational audits for West Dunbartonshire Council. Any significant issues arising which may impact on the IJB's Strategic Plan will be reported as part of the regular progress report to the WD IJB Audit Committee.

<https://wdccmis.west-dunbarton.gov.uk/cm5/Meetings/tabid/73/ctl/ViewMeetingPublic/mid/410/Meeting/8471/Committee/527/Default.aspx>

5. People Implications

- 5.1** There are no personnel issues with this report.

6. Financial Implications

- 6.1** There are no financial implications with this report.

7. Professional Implications

- 7.1** None.

8. Locality Implications

- 8.1** None.

9. Risk Analysis

- 9.1** The Plan has been constructed taking cognisance of risks which have implications for the IJB through discussions with management and review of available risk registers.

10. Impact Assessments

10.1 None.

11. Consultation

11.1 Discussions have taken place with the IJB's Chief Officer and Chief Financial Officer in relation to the proposed annual audit plan coverage for 2020-2021.

11.2 There will be regular ongoing discussion with External Audit to ensure respective audit plans area reviewed as circumstances change in order to minimise duplication of effort and maximise coverage for the West Dunbartonshire IJB.

12. Strategic Assessment

12.1 The establishment of a robust audit plan will assist in assessing whether the West Dunbartonshire Integration Joint Board and Officers have established proper governance and control arrangements which contribute to the achievement of the strategic priorities of the HSCP Strategic Plan.

Author: **Andi Priestman**
Chief Internal Auditor – West Dunbartonshire Integration Joint Board

Date: **2 March 2020**

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Appendices: Appendix 1 – Internal Audit Annual Strategy and Plan 2020-2021

Background Papers: None

INTERNAL AUDIT ANNUAL STRATEGY AND PLAN 2020-2021**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 West Dunbartonshire 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 to the IJB's strategic planning processes and management's own assessment of risk.
- 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 West Dunbartonshire IJB.

INTERNAL AUDIT ANNUAL STRATEGY AND PLAN 2020-2021

4 Service Delivery

- 4.1 The provision of the internal audit service is through a directly employed in-house team from West Dunbartonshire Council.
- 4.2 In relation to the total staff days allocated to the 2020-2021 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 40 days which will be resourced as follows:

Team Member

Auditor – 40 days

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 such, no direct time 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 2020-2021

5 Proposed Audit Coverage 2020-2021

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

Planned Assurance Work	Description	Staff Days
IJB Directions	Statutory Guidance has now been produced in relation to IJB Directions. Internal Audit will review the adequacy and effectiveness of arrangements in place to ensure that the current policy and associated procedures are appropriately updated in line with the guidance.	20
Risk Management Process	Risk management is a key aspect of corporate governance arrangements. Internal Audit will review the adequacy and effectiveness of the risk management process.	20
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 19-20	Annual report on 2019-2020 audit activity will be provided to CFO to inform the Annual Governance Statement for the IJB.	
Total Staff Days		40

INTERNAL AUDIT ANNUAL STRATEGY AND PLAN 2020-2021

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 2020-2021 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 2020-2021.

WEST DUNBARTONSHIRE HEALTH & SOCIAL CARE PARTNERSHIP**Audit and Performance Committee****1 April 2020**

**Subject: Audit Scotland: West Dunbartonshire Integrated Joint Board
Annual Audit Plan 2019/20**

1. Purpose

- 1.1** To present to the Audit and Performance Committee the Annual Audit Plan produced by the HSCP Board's external auditors, Audit Scotland, for the audit of the financial year ending 31 March 2020.

2. Recommendation

- 2.1** The Partnership Board is asked to note and comment on Audit Scotland's 2019/20 Annual Audit Plan.

3. Background

- 3.1** In July 2016 the Accounts Commission appointed Audit Scotland as the external auditor for the West Dunbartonshire Integrated Joint Board for the five year period from 2016 to 2021.
- 3.2** Audit Scotland had served as the Board's external auditor since its establishment on 1 July 2015. The positive working relationships established through the audits of the last four financial years will continue to be built upon to help achieve the desired outcome of an unqualified audit opinion at the end of the 2019/20 annual accounts process.
- 3.3** The initial step is the production of the Annual Audit Plan (Appendix 1). Based on discussions with staff, attendance at board meetings and a review of supporting information, the plan is focused on the identification of the main risk areas for the West Dunbartonshire Integrated Joint Board.

4. Main Issues

- 4.1** The Annual Audit Plan contains an overview of the planned scope and timing of Audit Scotland's external audit of West Dunbartonshire Health and Social Care Partnership Integration Joint Board. It includes their identification of key audit risks, which are categorised into financial statement risks and wider dimension risks. These key audit risks require specific testing and are detailed in Exhibit 1 of the Annual Audit Report.

4.2 The audit outputs and their target dates, which are based on presentation of Annual Audit Report to the HSCP Board on 23 September 2020, are detailed in Exhibit 2.

4.3 The planned work in 2019/20 includes:

- An audit of the financial statements and provision of an opinion on whether:
 - they give a true and fair view of the state of affairs the partnership as at 31 March 2020 and its income and expenditure for the year then ended; and
 - the accounts have been properly prepared in accordance with relevant legislation including: the Local Government (Scotland) Act 1973 and the 2019/20 Code of Practice on Local Authority Accounting in the United Kingdom (the Code).

4.4 Auditing standards require internal and external auditors to work closely together to make best use of available audit resources. To support the external audit opinion on the financial statements formal reliance will be placed on the areas of internal audit work including:

- Attendance Management; and
- Case Management

5. People Implications

5.1 None associated with this report.

6. Financial Implications

6.1 The proposed audit fee for the 2019/20 audit of the IJB is £26,560, which is increase of £1,560 (6.2%) on the 2018/19 cost. This fee is consistent with the fees for all Integrated Joint Boards; however the level of increase has been challenged by the National CIPFA CFO Section.

6.2 Audit Scotland's fee assumes receipt of the unaudited financial statements by 30 June 2020 and covers the cost of planning, delivery, reporting and the auditor's attendance at committees.

7. Professional Implications

7.1 The Audit Committee and the Chief Financial Officer primary responsibility is to ensure proper financial stewardship of public funds.

8. Locality Implications

8.1 None associated with this report.

9. Risk Analysis

9.1 The audit of the financial statements does not relieve Partnership Board's Audit Committee (as the body charged with overseeing and scrutinising governance) or the Chief Financial Officer of their responsibilities.

10. Impact Assessments

10.1 None required.

11. Consultation

11.1 None required.

12. Strategic Assessment

12.1 Compliance with relevant legislation, proper budgetary control and sound financial practice are cornerstones of good governance and support the Partnership Board and officers to pursue the strategic priorities of the HSCP Strategic Plan.

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Date: 06 March 2020

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Appendices: Appendix 1: Audit Scotland - Annual Audit Plan 2019/20

Background Papers: None

Wards Affected: All

West Dunbartonshire Integration Joint Board

Annual Audit Plan 2019/20



 AUDIT SCOTLAND

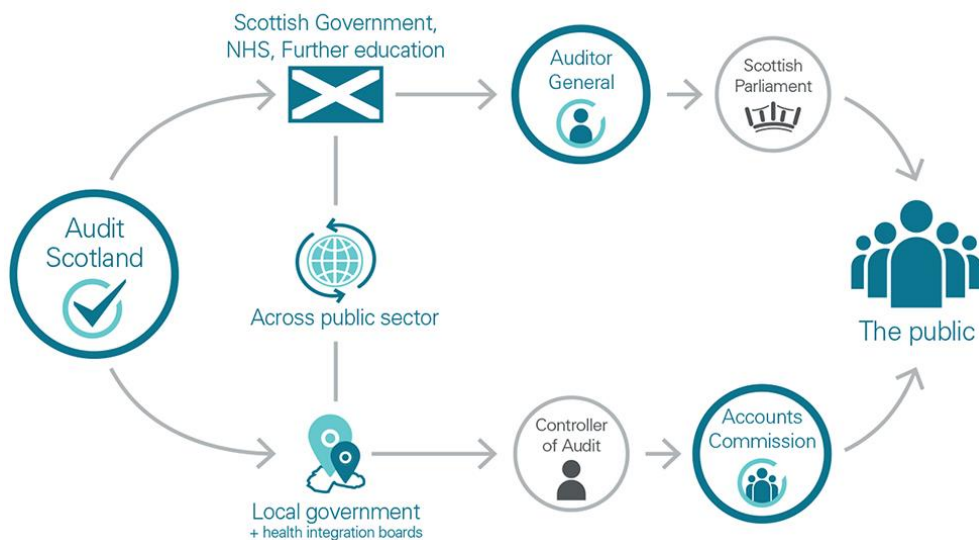
Prepared for West Dunbartonshire Integration Joint Board

February 2020

Who we are

The Auditor General, the Accounts Commission and Audit Scotland work together to deliver public audit in Scotland:

- The Auditor General is an independent crown appointment, made on the recommendation of the Scottish Parliament, to audit the Scottish Government, NHS and other bodies and report to Parliament on their financial health and performance.
- The Accounts Commission is an independent public body appointed by Scottish ministers to hold local government to account. The Controller of Audit is an independent post established by statute, with powers to report directly to the Commission on the audit of local government.
- Audit Scotland is governed by a board, consisting of the Auditor General, the chair of the Accounts Commission, a non-executive board chair, and two non-executive members appointed by the Scottish Commission for Public Audit, a commission of the Scottish Parliament.



About us

Our vision is to be a world-class audit organisation that improves the use of public money.

Through our work for the Auditor General and the Accounts Commission, we provide independent assurance to the people of Scotland that public money is spent properly and provides value. We aim to achieve this by:

- carrying out relevant and timely audits of the way the public sector manages and spends money
- reporting our findings and conclusions in public
- identifying risks, making clear and relevant recommendations.

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Risks and planned work

1. This annual audit plan contains an overview of the planned scope and timing of our audit which is carried out in accordance with International Standards on Auditing (ISAs), the [Code of Audit Practice](#), and [guidance on planning the audit](#). This plan sets out the work necessary to allow us to provide an independent auditor's report on the annual accounts and meet the wider scope requirements of public sector audit.

2. The wider scope of public audit contributes to assessments and conclusions on financial management, financial sustainability, governance and transparency and value for money.

Adding value


3. We aim to add value to the West Dunbartonshire Integration Joint Board (WDIJB) through our external audit work by being constructive and forward looking, by identifying areas for improvement and by sharing and encouraging good practice. In so doing, we intend to help the WDIJB promote improved standards of governance, better management and decision making and more effective use of resources.


Audit risks


4. Based on our discussions with staff, attendance at committee meetings and a review of supporting information we have identified the following significant audit risks for WDIJB. We have categorised these risks into financial statements risks and wider dimension risks. The key audit risks, which require specific audit testing, are detailed in [exhibit 1](#).

Exhibit 1 Significant risks for the 2019/20 audit

 Audit Risk	Source of assurance	Planned audit work
Financial statements risks		
<p>1 Risk of material misstatement caused by management override of controls</p> <p>ISA 240 requires that audit work is planned to consider the risk of fraud, which is presumed to be a significant risk in any audit. This includes consideration of the risk of management override of controls to change the position disclosed in the financial statements.</p>	<ul style="list-style-type: none"> Owing to the nature of this risk, assurances from management are not applicable in this instance. 	<ul style="list-style-type: none"> Assurances will be obtained from the auditors of NHS Greater Glasgow & Clyde and West Dunbartonshire Council over the completeness, accuracy and allocation of the income and expenditure. Detailed testing of journal entries. Review of accounting estimates.
<p>2 Risk of material misstatement caused by fraud in expenditure</p> <p>The Code of Audit Practice expands the consideration of fraud</p>	<ul style="list-style-type: none"> Normal budget monitoring processes would establish and report the reasons for any unexpected 	<ul style="list-style-type: none"> Assurances will be obtained from the auditors of NHS Greater Glasgow & Clyde and West Dunbartonshire Council over the accuracy,

 Audit Risk	Source of assurance	Planned audit work
<p>under ISA 240 to include the risk of fraud over expenditure.</p> <p>As the expenditure of WDIJB is processed through the financial systems of NHS Greater Glasgow & Clyde and West Dunbartonshire Council, there is a risk that expenditure that does not relate to the IJB is included in the accounts or that expenditure that does relate to the IJB is omitted from the accounts.</p>	<p>fluctuations in expenditure during the year.</p>	<p>completeness and allocation of the Integration Joint Board ledger entries.</p>
<p>3 Hospital acute services (set aside)</p> <p>The “set aside” budget is the Integration Joint Board’s share of the budget for delegated acute services provided by hospitals on behalf of the Joint Board.</p> <p>The Board recently agreed an estimated figure for 2019/20, with a view to reflecting the true cost and activity from 1 April 2020.</p> <p>There is a risk that the sum set aside in the 2019/20 IJB accounts does not accurately reflect the true cost of acute services.</p>	<ul style="list-style-type: none"> • A working group of representatives from the six Glasgow IJB’s, the Scottish Government and NHSGGC are continuing to work on an agreed mechanism to accurately reflect the sum set aside. 	<ul style="list-style-type: none"> • Engage with officers to ensure that a robust mechanism has been developed to quantify set aside figures. • Monitor Scottish Government guidance on the treatment of set aside in the 2019/20 financial statements to establish whether the disclosure in the financial statements is compliant. Provide update in the Annual Audit Report.
<p>4 Financial sustainability</p> <p>The financial monitoring report (for the period to 30 September 2019) showed a projected overspend for the year of £0.527 million.</p> <p>A recovery plan accompanied the financial monitoring report and set out the use of reserves to fund any overspend, after the application of mitigating actions.</p> <p>The reserves balance at 31 March 2019 was £2.457 million, which is below the IJB’s reserve target of 2% of net expenditure (excluding Family Health Services expenditure).</p> <p>As at 19 February 2020, the financial report for the period to 31 December 2019 is now projecting an underspend for the year of £0.520 million. This is due to various reasons, including underspends within elderly care services and delays in recruiting to vacancies.</p> <p>There are currently no medium to long-term financial plans in place to</p>	<ul style="list-style-type: none"> • Going concern assurance received from Chief Finance Officer of the IJB. • Recovery plans are in place to minimise the utilisation of reserves. • Medium-long term financial plans are within the planned scope of work for the Chief Financial Officer and Heads of Service. 	<ul style="list-style-type: none"> • Review the Chief Financial Officer’s assessment of going concern for the 2019/20 accounts. • Review of the IJB’s recovery plan. • Review ongoing budget monitoring reports to ensure they accurately reflect the position of the partnership. • Review of the IJB’s year-end position. • Review of the year-end reserves position. • Monitor progress in developing a medium to long-term financial plan and report an update in the Annual Audit Report.

 Audit Risk	Source of assurance	Planned audit work
<p>demonstrate how the IJB will secure the financial sustainability of its services in the future.</p> <p>There is a risk that the IJB is not able to project its cost pressures effectively or identify savings and efficiencies timeously and is reliant on the use of reserves to deliver services and is not financially sustainable in the medium to long-term.</p>		
Wider dimension risks		
<p>5 2020/21 budget setting</p> <p>The timing of budget setting for the UK and Scottish public sector has led to increased uncertainty for IJBs in setting 2020/21 budgets.</p> <p>West Dunbartonshire Council is due to set its 2020/21 budget on 4 March 2020 but there is a risk that that the budget does not reflect the final settlement, and further in-year savings need to be made that impact on the IJB budget.</p> <p>WDIJB is due to set its budget on 25 March 2020 and, as in past years, indicative figures will be used for the Health Board's contributions.</p> <p>If partner contributions are lower than expected, this will impact on the 2020/21 WDIJB budget and the planned delivery of services.</p>	<ul style="list-style-type: none"> • Continuous discussions between the IJB, Council and Health Board to provide the most up to date position regarding budget setting. • Officers will prepare a revised budget and provide members with further saving options if partner contributions are lower than expected. 	<ul style="list-style-type: none"> • Ongoing monitoring of budget setting for 2020/21, including confirmation of funding from host bodies.
<p>6 Demonstrating the delivery of Best Value</p> <p>WDIJB are required to have arrangements in place to demonstrate that it is delivering Best Value in the provision of services.</p> <p>There is a risk that the IJB is unable to demonstrate that it is delivering Best Value and evidence how the IJB is changing the way care services are delivered and realigning budgets to support this.</p>	<ul style="list-style-type: none"> • The Head of Strategy, Planning and Health Improvement will embed the principles of Best Value into the regular quarterly performance reports to the HSCP Board to complement to Financial Performance Reports. • The Heads of Service will have in place for 2020/21 Service Improvement Delivery Plans incorporating actions to demonstrate Best Value. 	<ul style="list-style-type: none"> • Monitor progress against developing a mechanism to demonstrate that the IJB is achieving Best Value. • Review evidence of continuous improvement reported within WDIJB's 2019/20 Annual Performance Report.

 Audit Risk	Source of assurance	Planned audit work
<p>7 Financial regulations</p> <p>The financial regulations were due to be reviewed on 1 April 2019 but have not yet been reviewed and updated.</p> <p>There is a risk that the existing financial regulations do not reflect current practices, including recent changes made to procurement processes.</p>	<ul style="list-style-type: none"> The Financial Regulations will be updated for the April 2020 Audit and Performance Committee Review. 	<ul style="list-style-type: none"> Review updated financial regulations, once available.

Source: Audit Scotland

5. International auditing standards require auditors to make a presumption of a risk of fraud in the recognition of income other than where there are circumstances that would allow this presumption to be rebutted. As the Joint Board is wholly funded by NHS Greater Glasgow & Clyde and West Dunbartonshire Council we have concluded that there is no risk of material misstatement caused by fraud over income recognition and have therefore rebutted this presumption. As a result we do not plan to conduct audit procedures to address this risk.

Reporting arrangements

6. This audit plan, the outputs set out at [exhibit 2](#), and any other outputs on matters of public interest will be published on Audit Scotland's website:

www.audit-scotland.gov.uk.

7. Matters arising from our audit will be reported on a timely basis and will include agreed action plans. Draft reports will be issued to the relevant officer(s) to confirm factual accuracy, prior to the issue and publication of final reports.

8. We will provide an independent auditor's report to West Dunbartonshire Integration Joint Board and the Accounts Commission setting out our opinions on the annual accounts. We will also provide the IJB and the Accounts Commission with an annual report on the audit containing observations and recommendations on significant matters which have arisen during the audit.

Exhibit 2 2019/20 Audit outputs

Audit Output	Committee Date
Independent Auditor's Report (i.e. audit certificate)	23 September 2020
Annual Audit Report	23 September 2020

Source: Audit Scotland

Audit fee

9. The agreed fee for the 2019/20 audit of West Dunbartonshire Integration Joint Board is £26,560 (£25,000 in 2018/19). The audit fee is in line with Audit Scotland's expected fee for all IJBs this year and represents a £1,560 (6.2%) increase on the 2018/19 audit fee. This level of increase reflects the additional resource input required to deliver the IJB audits last year, including the extent of wider dimension audit work now included within the scope of these audits.

10. Where our audit cannot proceed as planned through, for example, late receipt of unaudited annual accounts or being unable to take planned reliance from the work of internal audit, a supplementary fee may be levied. An additional fee may also be required in relation to any work or other significant exercises outwith our planned audit activity.

Responsibilities

Audit and Performance Committee and Chief Financial Officer

11. Audited bodies are responsible for ensuring the proper financial stewardship of public funds, compliance with relevant legislation and establishing effective arrangements for governance, propriety and regularity that enable them to successfully deliver their objectives. For West Dunbartonshire the Chief Financial Officer is the proper officer (section 95 officer), with responsibility for the administration of financial affairs. The Joint Board has delegated responsibility for the oversight of internal and external audit to its Audit and Performance Committee.

12. The audit of the annual accounts does not relieve management or the Audit and Performance Committee, as those charged with governance, of their responsibilities.

Appointed auditor

13. Our responsibilities as independent auditors are established by the Local Government (Scotland) Act 1973, the Code of Audit Practice and the auditing profession's ethical guidance.

14. Auditors in the public sector give independent opinions on the financial statements and other information within the annual accounts.

Audit scope and timing

Annual accounts

15. The annual accounts, which include the financial statements, will be the foundation and source for most of the audit work necessary to support our judgements and conclusions. We also consider the wider environment and challenges facing the public sector. Our audit approach includes:

- understanding the business of West Dunbartonshire Integration Joint Board and the associated risks which could impact on the financial statements
- assessing how weaknesses in the key systems of internal control could impact on the financial statements
- identifying major transaction streams, balances and areas of estimation and understanding how these will be reflected in the financial statements
- determining the nature, timing and extent of audit procedures necessary to provide sufficient audit evidence as to whether the financial statements are free from material misstatement.

16. We will give an opinion on whether:

- the financial statements give a true and fair view of the state of affairs of the Joint Board as at 31 March 2020 and of the income and expenditure of the year
- the annual accounts have been properly prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom 2019/20
- the annual accounts have been prepared in accordance with relevant legislation.

Other information in the annual accounts

17. We also review and report on the other information published within the annual accounts including the management commentary, annual governance statement and remuneration report. We give an opinion on whether these have been prepared in accordance with the appropriate regulations and guidance. We also read and consider the other information in the annual accounts and report any material inconsistencies.

Materiality

18. We apply the concept of materiality in planning and performing the audit. Materiality defines the maximum error that we are prepared to accept and still conclude that the financial statements present a true and fair view. It helps assist our planning of the audit and allows us to assess the impact of any potential audit adjustments on the financial statements.

19. We calculate materiality at different levels as described below. The calculated materiality values for West Dunbartonshire Integration Joint Board are set out in [exhibit 3](#).



Exhibit 3 Materiality values



Materiality	Amount
Planning materiality – This is the calculated figure we use in assessing the overall impact of audit adjustments on the financial statements. It has been set at 1.5% of gross expenditure based on the audited accounts for the year ended 31 March 2019.	£2.854 million
Performance materiality – This acts as a trigger point. If the aggregate of errors identified during the financial statements audit exceeds performance materiality this would indicate that further audit procedures should be considered. Using our professional judgement, we have calculated performance materiality at 70% of planning materiality.	£1.998 million
Reporting threshold – We are required to report to those charged with governance on all unadjusted misstatements more than the 'reporting threshold' amount. This has been calculated at 1.5% of planning materiality.	£0.050 million

Source: Audit Scotland

Timetable

20. To support the efficient use of resources it is critical that a timetable is agreed with us for the production and audit of the annual accounts. The agreed timetable for the 2019/20 annual accounts is included at [exhibit 4](#).

Exhibit 4 Annual accounts timetable

 Key stage	 Date
Consideration of unaudited annual report and accounts by the Audit and Performance Committee / Board	17 June 2020
Latest submission date of unaudited annual report and accounts with complete working papers package	30 June 2020
Latest date for final clearance meeting with the Chief Financial Officer	3 September 2020
Issue of Letter of Representation and proposed independent auditor's report	23 September 2020
Agreement of audited unsigned annual report and accounts	23 September 2020
Independent auditor's report signed	23 September 2020
Issue of Annual Audit Report to those charged with governance	23 September 2020

Internal audit

21. Auditing standards require internal and external auditors to work closely together to make best use of available audit resources. We seek to rely on the work of internal audit wherever possible and as part of our planning process we carry out an annual assessment of the internal audit function at audited bodies.

22. The Internal audit function for West Dunbartonshire Integration Joint Board is provided by West Dunbartonshire Council overseen by the Audit and Risk Manager. Our assessment of the internal audit function concluded that it has sound documentation standards and reporting procedures in place and complies with the main requirements of the Public Sector Internal Audit Standards (PSIAS).

23. It was agreed at the Audit & Performance pre-agenda meeting on the 11 March 2020 that detailed audit progress reports from West Dunbartonshire Council (WDC) would no longer be routinely included in papers to the Audit and Performance Committee. Instead, WDIJB would place reliance on the WDC internal audit team to follow-up on audit action points in a similar way as the NHS Greater Glasgow & Clyde internal auditors. Therefore, only actions raised that are the specific responsibility of WDIJB will be monitored, on an exception basis.

Using the work of internal audit

24. As part of our wider dimension audit responsibilities we plan to consider the work of Internal Audit in the following areas:

- Attendance management
- Case management

Audit dimensions

25. Our audit is based on four audit dimensions that frame the wider scope of public sector audit requirements as shown in [exhibit 5](#). Our conclusions on the four dimensions will contribute to an overall assessment and assurance on best value.

**Exhibit 5
Audit dimensions**



Source: Code of Audit Practice

Financial management

26. Financial management is concerned with financial capacity, sound budgetary processes and whether the control environment and internal controls are operating effectively. We will review, conclude and report on:

- the effectiveness of the budgetary control system in communicating accurate and timely financial performance
- whether financial capacity and skills are adequate

- whether appropriate and effective arrangements for internal control and the prevention and detection of fraud and corruption have been established
- the arrangements in place to receive assurances that systems of internal control are operating effectively
- consideration of the effectiveness of the controls and policies in preventing procurement fraud.

Financial sustainability

27. We consider the appropriateness of the use of the going concern basis of accounting as part of the annual audit. We will also comment on the Joint Board's financial sustainability. We will carry out work and conclude on the following areas:

- the effectiveness of financial planning in identifying and addressing risks to financial sustainability in the short, medium and long term
- the arrangements in place to address any identified funding gaps

Governance and transparency

28. Governance and transparency is concerned with the effectiveness of scrutiny and governance arrangements, leadership and decision-making and transparent reporting of financial and performance information. We will review, conclude and report on:

- whether governance arrangements are appropriate and operating effectively
- the quality and timeliness of financial and performance reporting
- whether there is effective scrutiny, challenge and transparency of decision-making, and finance and performance reports.

Value for money

29. Value for money refers to using resources effectively and continually improving services. We will assess whether the Joint Board can provide evidence that it is demonstrating value for money in the use of resources, has a focus on improvement and that there is a clear link to the outcomes delivered.

Best Value

30. Integration Joint Boards have a statutory duty to make arrangements to secure best value. We will review and report on these arrangements.

EU withdrawal

31. The United Kingdom left the European Union on 31 January 2020. Work is ongoing with the Scottish Government and the Joint Board's partner organisations to ensure that all necessary and appropriate steps are taken to minimise any disruption caused by EU withdrawal during and beyond the 12 month transition period. We will continue to monitor developments in this area.

Independence and objectivity

32. Auditors appointed by the Accounts Commission or Auditor General must comply with the Code of Audit Practice and relevant supporting guidance. When auditing the financial statements auditors must also comply with professional standards issued by the Financial Reporting Council and those of the professional accountancy bodies. These standards impose stringent rules to ensure the independence and objectivity of auditors. Audit Scotland has robust arrangements in place to ensure compliance with these standards including an annual "fit and proper" declaration for all members of staff. The arrangements are overseen by the Director of Audit Services, who serves as Audit Scotland's Ethics Partner.

33. The appointed auditor for West Dunbartonshire Integration Joint Board is Fiona Mitchell-Knight, Audit Director. Auditing and ethical standards require the appointed auditor to communicate any relationships that may affect the independence and objectivity of audit staff. We are not aware of any such relationships pertaining to the audit of West Dunbartonshire Integration Joint Board.

Quality control

34. International Standard on Quality Control (UK and Ireland) 1 requires that a system of quality control is established, as part of financial audit procedures, to provide reasonable assurance that professional standards and regulatory and legal requirements are being complied with and that the independent auditor's report or opinion is appropriate in the circumstances.

35. The foundation of our quality framework is our Audit Guide, which incorporates the application of professional auditing, quality and ethical standards and the Code of Audit Practice (and supporting guidance) issued by Audit Scotland and approved by the Auditor General for Scotland. To ensure that we achieve the required quality standards Audit Scotland conducts peer reviews and internal quality reviews. Additionally, the Institute of Chartered Accountants of Scotland (ICAS) have been commissioned to carry out external quality reviews.

36. As part of our commitment to quality and continuous improvement, Audit Scotland will periodically seek your views on the quality of our service provision. We welcome feedback at any time and this may be directed to the appointed auditor or to Audit Scotland's Audit Quality and Appointments group.

West Dunbartonshire Integration Joint Board

Annual Audit Plan 2019/20

If you require this publication in an alternative format and/or language, please contact us to discuss your needs: 0131 625 1500 or info@audit-scotland.gov.uk

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WEST DUNBARTONSHIRE HEALTH & SOCIAL CARE PARTNERSHIP

Audit and Performance Committee

1st April 2020

Subject: West Dunbartonshire Alcohol and Drug Partnership (ADP) – Governance Arrangements

1. Purpose

- 1.1 To brief HSCP Audit and Performance Committee on the new requirements of the *Scottish Government Partnership Delivery Framework to Reduce the Use of and Harm from Alcohol and Drugs* in relation to the expectations of local governance arrangements for ADPs. Additionally to seek agreement that, in order to fulfil these requirements, the West Dunbartonshire Alcohol and Drug Partnership should report annually to the HSCP Audit and Performance Committee.

2. Recommendations

- 1.2 The Audit and Performance Committee are recommended to agree that:
- For the year 2020/21 and going forward that ADP performance and financial reports will be submitted to the HSCP Audit and Performance Committee on an annual basis with the first annual report due May 2021.

3. Background

- 3.1. The *Partnership Delivery Framework to Reduce the Use of and Harm from Alcohol and Drugs*¹ (which replaces the *2009 Memorandum of Understanding for Alcohol and Drugs Partnerships*) was approved by COSLA Leaders and Scottish Ministers and published on 19 July 2019. As a result, most ADPs are reviewing and updating their Terms of Reference.
- 3.2 The Partnership Delivery Framework aligns with the new national strategies [“Rights, respect and recovery: alcohol and drug treatment strategy”](https://www.gov.scot/publications/rights-respect-recovery/)² and the [“Alcohol Framework 2018: Preventing Harm”](https://www.gov.scot/publications/alcohol-framework-2018-preventing-harm-next-steps-changing-relationship-alcohol/)³ as well as taking into account other developments such as the National Performance Framework, health and

¹ <https://www.gov.scot/publications/partnership-delivery-framework-reduce-use-harm-alcohol-drugs/>

² <https://www.gov.scot/publications/rights-respect-recovery/>

³ <https://www.gov.scot/publications/alcohol-framework-2018-preventing-harm-next-steps-changing-relationship-alcohol/>

social care integration, local arrangements for community planning and Public Health Priorities.

- 3.3** WD ADP agreed on 28 August 2019 that chair and membership of the ADP should be reviewed and a new Terms of Reference developed. On 29 January 2020 the ADP agreed to develop new monitoring frameworks and to restructure in line with national requirements.

4. Main Issues

- 4.1** The Partnership Framework for ADPs sets out expectations that ADPs will have in place. These include the following:

Governance and Oversight

- 4.2** The Partnership Delivery Framework highlights that the following members of the ADP will need to ensure that effective oversight arrangements are in place to deliver the local strategy:

- The Local Authority
- Police Scotland
- NHS Board
- Integration Authority
- Scottish Prison Service (where there is a prison within the geographical area)
- The third sector
- Community members

Financial Arrangements

- 4.3** The Partnership Delivery Framework is clear that: *“Effective and transparent governance arrangements must be in place to invest in partnership to deliver the shared outcomes and priority actions in the strategy”.*

In particular it highlights *“Financial arrangements should enable the ADP to:*

- *Establish a shared understanding of the total investment of resources in prevention of harm and reducing inequalities from alcohol and drugs across the local system.*
- *Make effective decisions to invest in the delivery of these outcomes.*
- *Ensure there is scrutiny over investments in third sector and public sector to deliver outcomes.*
- *Report to local governance structures on investment*
- *Report to the Scottish Government on specific alcohol and drug funding allocated to Health Boards for onward delegation to Integration authorities; and in line with financial reporting arrangements agreed with Integration Authorities.*

Strategic Planning

- 4.4 There is an expectation that local areas should have a Strategy and Delivery Plans in place to achieve local outcomes to reduce the use of and harms from alcohol and drugs by **1st April 2020**. These should set out the long term measureable outcomes and priority actions for the local area, focussing on preventing and reducing the use of and harm from alcohol and drug use and the associated health inequalities. People with experience of problem alcohol/drug use and those affected should be involved in the planning, development and delivery of services.

Monitoring and Evaluation and Quality Improvement

- 4.5 A Monitoring and Evaluation Plan for Rights, Respect and Recovery (due November 2019) was published on 6 January 2020. Following this it will now be possible to develop and finalise a linked performance framework for West Dunbartonshire ADP. A national working group will develop a quality improvement approach based on self-assessment and peer review that will complement existing inspection frameworks.

5. People Implications

- 5.1 The work in relation to the support and servicing of the ADP is undertaken within existing staffing structures.

6. Financial Implications

- 6.1 There are no direct financial implications associated with this paper.

7. Risk Analysis

- 7.1 There are no risks associated with this paper.

8. Equalities Impact Assessment (EIA)

- 8.1 As there are no significant changes to policies or services as a result of this report.

9. Consultation

- 9.1 A comprehensive community engagement process focussing on those with lived experience has been undertaken took place from November 2019 to February 2020 and the results will inform the forthcoming ADP strategy and delivery plans.

10. Strategic Assessment

- 10.1 The ADP delivers the HSCP response alcohol and drugs in line with the *Scottish Government Partnership Delivery Framework to Reduce the Use of and Harm from Alcohol and Drugs*.

Sylvia Chatfield, Head of Mental Health, Learning Disability and Addictions

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Appendices:

None

WEST DUNBARTONSHIRE HEALTH & SOCIAL CARE PARTNERSHIP

AUDIT AND PERFORMANCE COMMITTEE: 1ST APRIL 2020

Subject HSCP Equality Outcomes and Mainstreaming Report 2020 -2024

1. Purpose

- 1.1. To provide the Audit and Performance Committee with the biennial HSCP Equality Outcomes and Mainstreaming Report 2020 -2024 required as part of the HSCP duties in relation to the Equality Act 2010.

2. Recommendation

- 2.1. The Audit and Performance Committee is asked to
- Note the progress on equality mainstreaming and equality outcomes
 - Agree the report for publication in line with the duty placed on the HSCP by the Equality and Human Rights Commission (EHRC) to publish a mainstreaming report and update on equality outcomes by the 30th of April 2020

3. Background

- 3.1. The Equality Act 2010 harmonised equalities legislation and includes general and specific public sector equality duties which cover nine “protected characteristics” age, marriage and civil partnership sex sexual orientation, disability, gender reassignment, pregnancy & maternity, religion/belief and race.
- 3.2. The HSCP is required to give due regard to the three key requirements of the general equality duty as defined in Equality Act 2010 throughout day to day business by:
- Eliminating discrimination, harassment and victimisation
 - Advancing equality of opportunity between people who share a protected characteristic and those who do not
 - Fostering good relations between people who share a protected characteristic and those who do not.
- 3.3. The Equality Act 2010 (Specific Duties) (Scotland) Amendment Regulations 2015, means the HSCP has had additional specific equalities duties since 2016. These are to:
- Develop and report on a set of Equality Outcomes
 - To report on how the HSCP is mainstreaming equality into its day-to-day business

- To carry out equality impact assessments on health and social care policies and practices which have been delegated to the HSCP.

3.4. The HSCP continues to ensure that particular needs characteristics and circumstances are considered through interlinked approaches which include

- Clinical and Care Governance and implementation of the Health & Social care Standards
- Person Centred Services ensuring the needs of particular groups are included in line with service development
- Strategic commissioning and planning
- Performance management
- Workforce development

4. Main Issues

National Policy

4.1. National public policy continues to support the development of a society founded on fairness, dignity, equality and respect with the refreshed National Performance Framework 2018 reinforcing the health and social care standards aim to make health and social care services better for everyone and to ensure every person is treated with respect and dignity.

4.2. The Fairer Scotland Duty 2018 additionally places legal responsibility on Health and Social Care Partnerships to actively consider ('pay due regard' to) how to reduce inequalities of outcome caused by socioeconomic disadvantage, when making strategic decisions.

Mainstreaming Activity

4.3. The mainstreaming report outlines examples of person centred services where consideration is given to the particular needs, characteristics and circumstances of different service users. This includes

- Improving access to and outcomes of the national bowel screening programme for people with learning disabilities which was recognised by a COSLA award.
- Addressing child poverty with the Health visiting team continuing to support young families to access the range of newly available Best Start early years Social Security Scotland grants with over £0.500M of grants accessed in the first year.
- The HSCP providing leadership to Community Planning partners in raising awareness of and preventing domestic abuse with a focus on changing behaviour, building the knowledge and skills of individuals and delivering a shift in the structural, cultural and societal contexts in which abuse occurs.

Equality Outcomes

4.4. In line with the Equality and Human Rights Commission (EHRC) best practice; the HSCP has focused on ensuring that equality outcomes are clear, measurable and have a strong rationale for selection, align with local priorities, and are integrated into the standard HSCP performance reporting framework.

4.5.

Equality Outcome	Update
All people with learning disabilities known to the HSCP are enabled to access employment where appropriate (Disability)	The % of adults over the age of 16 years who have employment or training opportunities remains low .The HSCP continues to maximise use of its own supported employability programme Work Connect and is building new relationships providers including Working 4 U and Fair Start as part of the Keys to Life learning disability action plan
All appropriate IJB have a duty to prepare an adult care and support plan (ACSP) or young carer statement (YCS) for anyone they identify as a carer, or for any carer who requests one (Age)	The HSCP has continued to focus on ensuring that all carers have the support that they require using the new and continuing resources for this. The HSCP has worked closely with Y Sort it and Carers of West Dunbartonshire to promote access to carer support for all ages. The national forthcoming Carers census will also be used to measure this outcome.
All Looked after children are cared for in the most homely setting (Race)	The numbers of black and minority ethnic children and young people who are looked after continues to be very small however is increasing and the proportion of black and minority ethnic children and young people who are looked after in a homely setting is being sustained.
All Older People are supported to live in their community (Sex)	The overall number of reablement assessments completed has increased for men and women with the percentage of clients reaching their agreed personal outcome similar across both sexes. Reablement remain a for the care at home service focus in line with the Framework for Community Health and Social Care Integrated Services (2019) and completion of personal outcomes will continue to be monitored

4.6. In line with the phased approach which the HSCP has adopted in developing equality outcomes to cover all protected characteristics, a further equality outcome has been added for 2020/21. This connects to the ambition of the district nursing service to provide a holistic and personalised service which

takes account of spiritual care, palliative care and bereavement in line with the values of the [Realistic medicine programme](#)

- 4.7. The new outcome for 2020-2021 is
All adults supported by District Nursing teams are asked about their religion /beliefs with the intention to further scope out in by 2022

5. People Implications

- 5.1. The employer related public sector duties for equalities remain under the responsibility of the Health Board and Council. However, the Health and Social Care Partnership remains committed to effective, joined up work force planning across both health and social care services.

6. Financial Implications

- 6.1. There are no specific financial implications associated with this report

7. Risk Analysis

- 7.1. This Equality Outcomes and Mainstreaming Report has been prepared to report on the progress made to the three general public sector duties and the progress made to achieve with specific outcomes as identified in the April 2016 and 2018 reports and in order that the Partnership Board is able to appropriately meet specified milestones in relation to the Equalities Act.

8. Equality Impact Assessment (EIA)

- 8.1. The attached Mainstreaming Report confirms that streamlined equality impact assessment processes are a routine element of all reports considered by and any decisions recommended to the HSCP Board and the Audit and Performance Committee.

9. Environmental Impact Assessment

- 9.1. There are no environmental implications associated with this report

10. Consultation

- 10.1. The HSCP has consulted with a number of groups including the West Dunbartonshire Equalities Forum on the mainstreaming activity. Ongoing consultation on the overall approach to equalities will continue in line with the implementation Participation and Engagement strategy.

11. Strategic Assessment

- 11.1. The Strategic Plan 2019-2022 affirms the Partnership Board's commitment to integrate – i.e. mainstream – its obligations in respect of the equality duties into its approach to strategic planning and performance management; and into the day-to-day operational activities of the HSCP.

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Date: 2nd March 2020

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Background Papers: HSCP Equalities Mainstreaming Report April 2018
available at <http://www.wdhsc.org.uk/about-us/public-reporting/performance-reports/>

[EHRC Guidance for Scottish Public Authorities](#)

West Dunbartonshire
Health & Social Care Partnership

West Dunbartonshire Health & Social Care Partnership Board

Equality Outcomes and Mainstreaming Report

April 2020

DRAFT

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1. Foreword

Welcome to the third biennial Health and Social Care Partnership Equality Mainstreaming Report 2020 - 2024.

The report provides an overview of the progress made in delivering the Equality Outcomes the HSCP committed to in the two previous reports as well as an opportunity to demonstrate the mainstreaming activity taking place by our services.

At a time where Health and Social Care services are under increasing demand it is important to maintain and continue to focus on fairness and equity of service, while continuing to provide high quality services.

2. Context

The vision of West Dunbartonshire Health and Social Care Partnership (WDHSCP) is

“Improving lives with the people of West Dunbartonshire”

Our vision and our desire are to ensure our citizens have access to the right care, at the right time and in the right place.

WDHSCP strategic outcomes:

- Children and young people reflected in Getting It Right for Every Child
- Continual transformation in the delivery of services for adults and older people as reflected within our approach to integrated care
- The safety and protection of the most vulnerable people within our care and within our wider communities
- Support people to exercise choice and control in the achievement of their personal outcomes
- Manage resources effectively, making best use of our integrated capacity.

West Dunbartonshire Health and Social Care Partnership Board was established on 1st July 2015 as the Integration Authority for West Dunbartonshire.

The WDHSCP Board is responsible for the strategic planning and reporting of a range of health and social care services delegated to it by NHS Greater Glasgow & Clyde Health Board and West Dunbartonshire Council (which are described in full within its approved Integration Scheme) which is currently under review with a new Scheme expected summer 2020.

The Equality Act 2010 (the Act) harmonises and replaces previous equalities legislation and includes a public sector equality duty which replace separate duties in relation to race, disability and gender equality.

West Dunbartonshire Health and Social Care Partnership remains committed to integrating our obligations in respect of the equalities duties into our approach to strategic planning, performance management and into the day to day operational activities of the organisation.

Section 149 of the Equality Act 2010 (the public sector equality duty) referred to as the General Equality Duty ensures public authorities and those carrying out a public function consider how they can positively contribute to a more equal society through advancing equality and good relations in their day-to-day business, to:

- take effective action on equality
- make the right decisions, first time around
- develop better policies and practices, based on evidence
- be more transparent, accessible and accountable
- deliver improved outcomes for all.

To achieve this HSCP is committed to giving due regard to the three key needs of the general equality duty as defined in the Equality Act 2010 by:

- Eliminating discrimination, harassment and victimisation
- Advancing equality of opportunity between people who share a protected characteristic and those who do not
- Fostering good relations between people who share a protected characteristic and those who do not.

In April 2018, Scottish Government enacted the Fairer Scotland Duty placing legal responsibility on Health and Social Care Partnerships to actively consider ('pay due regard' to) how to reduce inequalities of outcome caused by socioeconomic disadvantage, when making strategic decisions. The duty sits within part 1 of the Equality Act 2010, and links closely to the Public Sector Equality Duty.

A large proportion of the inequality or disadvantage experienced by people with protected characteristics is because of socio-economic disadvantage. Scottish Index of Multiple Deprivation [SIMD 2020](#) measures deprivation across seven domains; current income, employment, health and education, skills and training, housing, geographic access and crime. The HSCP continues to use SIMD data in its strategic planning and needs assessments to direct resources appropriately and ensures all strategic decisions are equality impact assessed to consider the socioeconomic impact of the decision.

The latest SIMD release confirms West Dunbartonshire has the joint third highest proportion of data zones 48 (40%) in the 20% most deprived. This means a large proportion of people living in West Dunbartonshire are more likely to experience conditions which can limit their life opportunities. The HSCP has used primary care development resources to commission the delivery of Community Link worker services and works in partnership to enable Working 4U workers to be based within GP practices to provide more support to address life circumstances in health and social services.

The general equality duty covers the protected characteristics listed in the Equality Act 2010.



*marriage and civil partnership is covered by the general equality duty with regard to eliminating unlawful discrimination in employment.

WDHSCP continues to ensure the particular needs, characteristics and circumstances of different service users are considered through its interlinked approach which includes:

- Clinical and Care Governance and implementation of the Health and Social Care Standards
- Person Centred Services ensuring the needs of particular groups are included in line with all types of service development
- Strategic commissioning and planning recognising the needs of those with distinct protected characteristics and the need to consider the impact of poverty on health and social care
- Performance Management with a focus on implementation of the Equality Outcomes as outlined in our [previous reports](#)
- Workforce Development ensuring access to and uptake of relevant equalities training and development.

2.1. National Performance Framework



The refreshed [National Performance Framework 2018](#) is for everyone in Scotland and aims to create a more successful country, give opportunities to all people living in Scotland, and create sustainable and inclusive growth. The framework aims to increase the wellbeing of people living in Scotland and reduce inequalities and give equal importance to economic, environmental and social progress. The framework clearly references human rights while recognising and protecting the intrinsic value of all people and supports our work with community planning partners to build a

society founded on fairness, dignity, equality and respect.

2.2. Health and Social Care Standards

The [Health and Social Care Standards](#) came into effect in April 2018 and have been developed to make health, social care and social work services better for everyone and so every person is treated with respect and dignity, and their human rights are upheld. They build upon five principles which reflect the way that everyone should expect to be treated.



The [WDHSCP Audit and Performance Committee](#), supports the HSCP's responsibilities for issues of risk, control and governance and associated assurance. The Committee receive, scrutinise and comment upon the formal submission of reports, findings and recommendations by the range of Audit and Inspectorate Bodies which use the standards as a framework to inspect the range of commissioned and directly delivered health and social care services. This enables the HSCP to respond to any concerns raised promptly and appropriately complementing the best practice to ensure high quality care and continuous improvement.

2.2.1. Standards in Practice

The HSCP and our [local Scottish Care](#) development officer have been working with local external care home providers to develop a methodology which details the requirements of the standards and providers have been evidencing how they meet the standards by mapping between and across the standards and current evidence linked to the principles. The HSCP has commissioned six programmes of [My Homelife](#) which is a practical year long programme which focuses on improving the quality of life those living, dying, visiting and working in care homes for older people through relationship centred practice.

2.2.2. Framework for Community Health and Social Care Integrated Services 2019

Whilst health and social care services in West Dunbartonshire have been integrated for a decade, the recently published national [Framework for Community Health and Social Care Integrated Services \(2019\)](#) has enhanced the focus on design and delivery of integrated care and support. In particular the development of practice to ensure the adoption of a human rights based approach to assessment, treatment, care and support, with a clear focus on prevention, early intervention and tackling inequalities will enhance the local approach to supporting individuals. The HSCP has responded to this by continuing to shift the balance of care whereby there is an increasing investment in community placements and personalised support across all age and care groups. The HSCP [annual accounts for 2018/19](#) evidence this approach alongside the allocation of new resources for primary care and mental health development which aim to improve local access to a range of services.

2.3. Child Poverty

The national [Child Poverty Delivery Plan](#) is the initial step to achieve the ambitious targets set out in the Child Poverty Act 2017. The delivery plan priority groups each relate to one or more protected characteristics: •

Households with a disabled parent or child

- Minority ethnic households
- Larger families (many of which are minority ethnic families)

- Lone parents (90% of whom are women).

- Mothers aged under 25
- Families with a child under one year of age

[West Dunbartonshire Council Working 4U](#) leads the local work to tackle child poverty detailed in the [Child Poverty Action Report: Improved Life Chances for all Children, Young People and Families'](#) with the HSCP contributing to this work as part of Nurtured Delivery and Improvement Group, the local sub group of Community Planning Partners which focus on integrated children's services.

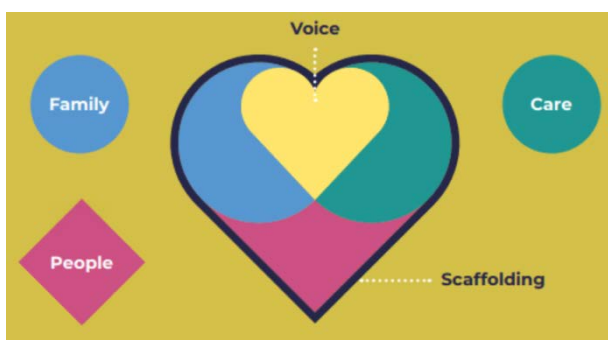
The HSCP continues to focus efforts to address child poverty on the national priority groups and have additionally emphasised to support; families and children with experience of the care system, children with caring responsibilities and those living in areas of high material deprivation as outlined in the [Chief Social Work Officer Report 2018/19](#)

The HSCP Health Visiting Team continue to support young families to access the range of newly available Best Start Social Security Scotland grants with over **£0.500m** of grants accessed in the first year.

2.4. Care Review

The Independent Care Review's aim is to identify and deliver lasting change in Scotland's care system and leave a legacy that will transform the wellbeing of infants, children and young people. The recommendations outline how Scotland will be a place where infants, children and young people in care receive the love, respect, and opportunities they deserve.

The review identified five foundations for change.



The HSCP is committed to prioritising our children and families by supporting vulnerable young people and by providing a range of parenting opportunities for all parents in our community. Children and Young people who become looked after are among the most disadvantaged in society with cared for children more likely to live in areas of socioeconomic deprivation. The HSCP strives to ensure children are looked after in the most homely setting and this remains a specific equality outcome for children from black ethnic minority (BME) communities.

3. Mainstreaming Progress 2018-2020

The following outlines some examples of HSCP services and collaborations which consider particular needs, characteristics and circumstances of different service users framed under the HSCP strategic priorities:

- Early Intervention – to support independence and focus on prevention
- Access – services designed, planned and provided along with those that use them making and ensure services are available to those who need them
- Resilience – across the community and the life course
- Assets – recognise and collaborate with local assets
- Inequalities – continue to address and focus where there is greatest need.

3.1. Person Centred Services

3.1.1. Early Intervention

Strength-based approach to addressing Adverse Childhood Experiences (ACEs)

ACEs have been found to have lifelong impacts on health and behaviour and while found across the population, those from areas of higher deprivation are more at risk of experiencing ACEs. West Dunbartonshire's ACEs Programme continues to develop a 10 year strength-based Nurtured Strategy for all life stages based on a systematic review of 'what works' in terms of strength based interventions. The Resilience Hub supports 400+ staff with development and networking and has reached 1000+ Community Planning staff with the documentary film, 'Resilience: The Biology of Stress and the Science of Hope'.

Training in Identifying Human Trafficking

WDHSCP staff and foster carers attended [Hope for Justice](#) training to increase awareness of human trafficking and relating this awareness to HSCP services within the community. The training enables participants to explain what human trafficking and exploitation is to recognise the signs and indicators and respond appropriately while having awareness of local referral mechanism process.

Physical Health & Wellbeing Nurses in Mental Health Services

As part of the implementation of the national [Mental Health Strategy 2017-27](#) new nurses have been employed to support those with severe and enduring mental health conditions to take care of their physical health. This programme will contribute to reducing the inequity of access to mainstream health and wellbeing services and strengthening the links between primary care and mental health services.

3.1.2. Access

Focused intervention team multi disciplinary team helps maintain and support older people at home

This service team delivers reactive, rapid response service to people in their own homes or in care settings. The service supports people who have frailty and/or complex needs whose wellbeing is deteriorating and where attendance or admission to hospital is likely.

Early intervention reduces the risk of admission and improves outcomes for people within the community. The newly established service is a preventative service to support patients' to maintain independence and prevent deterioration of health and wellbeing. The service provides onward links to third sector partners which offer a range of activities including home based strength and balance activities and access to a range of opportunities in the community.

Learning Disabilities Team – Bowel Screening Project

The HSCP specialist learning disability service took part in a project to improve access to and uptake of [the national bowel cancer screening service](#).

Uptake of the national service was traditionally low so all directly employed and HSCP commissioned service staff accessed comprehensive cancer awareness training to help staff understand the level of inequality and barriers faced by service users. Staff were then able to support their service user to take part in the bowel screening and record appropriate care and information. This support has now been integrated into commissioning arrangements for directly delivered and external services. The data driven approach and commitment to addressing inequalities was recognised with a [COSLA bronze award](#).

There are plans to see if similar approaches for other excluded groups accessing Mental Health and Addictions services would benefit from improved access to the national screening programme with work ongoing to explore at a NHSGGC level to see if instant access to electronic patient records can be used to support cancer screening status awareness within all of the NHSGGC HSCP teams.

HSCP Local Engagement Networks

The HSCP has recently approved its Participation and Engagement Strategy 2020-2023 which is the means to understanding the needs of local people from groups representing those with protected characteristics.

The Local Engagement Networks continue to provide opportunities for local people to share experiences and ensure service users get the maximum benefit from the services provided by West Dunbartonshire Health and Social Care Partnership. The network seeks the thoughts of local people who use the services provided by the HSCP and to understand how services can be improved. Most recently local people's views on mental health and addiction services, transforming health and social care services, the strategic plan and services for older people.

Network members and local Access Panel members contribute to the design and development of the Clydebank Care Home (due 2020) and the new Clydebank Health and Care Centre (due 2021).

3.1.3. Resilience

Work Connect Employability Programme

The HSCP Work Connect Levensgrove Park Pavilion Café is the latest addition to the highly successful partnership portfolio with West Dunbartonshire Council Greenspace. The project is managed by Work Connect Specialist Supported Employment Services and offers access to training for adults recovering from mental health issues, addictions and people with learning disabilities and Autism. This opportunity offers trainees, who often have complex needs, the chance to develop employability skills, to gain experience of a workplace to support their return to work and integration back into society. The project has provided support to 45 people who are considered to be some distance from the labour market by providing the employment opportunities, training, and ongoing support for the group with the aim to build their confidence and resilience.

Addressing Domestic Abuse

The HSCP provides leadership to Community Planning partners in raising awareness of and preventing domestic abuse. [West Dunbartonshire Integrated Children's Service Strategic Needs Assessment](#) 2018 and recent domestic abuse data from [Scottish Government for 2018/19](#) highlight the high levels of domestic abuse that exist in West Dunbartonshire. Collaborative working is taking place in schools, workplaces, organisations and communities across West Dunbartonshire where the emphasis is on preventing abuse before it occurs and recognising the significant impact on women and girls. The work focuses on changing behaviour, building the knowledge and skills of individuals and delivering a progressive shift in the structural, cultural and societal contexts in which abuse occurs.

Key activities include:

- The Champions Boards (care experienced young people) alongside Police Scotland continue to work in schools and roll out training developed for schools.
- Signing the Pledge event November 2019 where all Community Planning leaders committed to addressing domestic abuse as a community priority across all areas.
- Building the community response The 'Breaking the Cycle' conference in November 2019 was aimed to invigorate communities to recognise the role they can play in helping reduce domestic abuse.
- A refresh of the Violence against Women Partnership with closer links being made between Community Justice Services and wider community supports.

West Dunbartonshire Champions Board

The West Dunbartonshire Champions Board was created in 2018 and is a forum to enable care experience children and young people to help improve services and ensure their voices are heard. The board helps support and fund care experiences young people to participate in local classes and activity groups, to access HSCP services, money advice, addiction services, and housing services.

3.1.4. Assets

Good Life Group

The West Dunbartonshire based Good Life Group is a COSLA award-winning group of adults with learning disabilities who came together to take action to make life better for themselves and their peers. They have evolved into a focused, user-driven action group, delivering innovative, training programmes for health and social care professionals, people who use services and carers.

The training is designed and delivered by learning disabled people and utilises scenarios, based on forum theatre, which allows participants to be spectators, engaging with and intervening in the action. The group focus on topics such as communication and discussing health screening to raise awareness in staff groups and service users.

Intergenerational learning

WDHSCP aims to enable local people to remain independent and safe within their own home for as long as possible. Not everyone requires the support of HSCP services; however an increasing number of people are living with multiple complex health needs that require them to be supported at home. The programme not only addresses issues of isolation and loneliness but offers benefits to both age groups to build renewed understanding of the skills and strengths of the groups involved. HSCP sheltered housing complexes, local communities and third sector create opportunities for social activities, physical activity, digital learning and art classes through partnerships with West Dunbartonshire Leisure Trust and West College Scotland.

Sheltered housing and care home residents and local primary school children participated in 'pen pal' scheme to encourage writing and paired reading, joint activity classes including dementia friendly walking programmes and joint art and craft activities to encourage development, learning and sharing of skills.

3.1.5. Inequalities

Strategic Investment in Housing

The HSCP through the Joint Housing Contribution statement with West Dunbartonshire Council Housing Department and local housing developers has worked on the priorities for the [Strategic housing investment plan](#). A specific improvement is that each new affordable housing project contained in the programme must now include a minimum of 10% specialist provision, the nature of which is agreed with the HSCP. The HSCP has been a key participant in the review of the [West Dunbartonshire Design Standard](#), with a particular interest in areas around accessibility, adaptability and specialist housing.

Independent living for People with Learning Disability

Collaboration between HSCP Learning Disability Service, West Dunbartonshire Council Housing Department and housing developers continues to enable service users' access to quality housing locally with joint support to maximise independence and wellbeing. This includes refurbishment of the Montrose Street flats, advanced planning for the St Andrews

site which will provide service users with self contained, quality housing alongside tailored support and early work for the Dumbarton Quay site.

Support for Carers



Support for both adult and young carers remains a HSCP priority with the refreshed [Carers strategy 2019/22](#) being launched. This uses the new resources provided by the Government through the [Carers \(Scotland\) Act \(2016\)](#) to build on the support available within the HSCP and maximise the support available by working with third sector partners to ensure support is tailored to the needs of the carers. Adult support groups are available for male carers, those who care for someone with a learning disability, and those who care for person aged 65 years and over. Other groups support carers who care for someone with dementia, long term conditions or substance use issues.

Young carers are supported via third sector partner Y sort it with groups available for those aged 10-12 years and 12-18 years. The groups provide a safe and fun space for young carers to relax, study, meet new friends, and access advice and support.

Support for young adult carers (18-25 years) remains a priority of the Carers Development group to ensure appropriate support is available to this age group at a time of transition.

Gold Baby Friendly Service

WDHSCP Health Visiting team were accredited as a Gold Baby Friendly Service for excellence in the support of infant feeding and parent infant relationships in 2018. The team are contributing to the national and regional Infant Feeding Collaborative which aims to reduce the drop off rate of mothers' breast feeding at 6-8 weeks after birth by 10% by 2025. The focus for this work is with mothers who live in SIMD 1 (most deprived) areas.

Support for an inclusive West Dunbartonshire

The HSCP continues to participate in WDC and NHS GGC campaigns through involvement in wider equality networks. This includes attending LGBT History month and International women's day flag raising events, the NHS GGC Rainbow lanyard campaign to show the HSCPs commitment to creating an inclusive and equal environment in West Dunbartonshire.

3.2. Clinical and Care Governance & Public Protection

The Health and Social Care Partnership has established clinical and care governance structures and processes by which accountability for the quality of health and social care is monitored and assured. The structures support staff in continuously improving the quality and safety of care, and identify and address poor performance wherever possible.

Effective clinical and care governance arrangements are in place to support the delivery of safe, effective and person centred health and social care services within integrated services. These local arrangements and the local leadership structures continuously

consider the requirements of the Equalities Act to ensure quality improvement of services involving staff, service users and the public.

Through the wider Public Protection agenda the Health and Social Care Partnership will work to ensure that people, particularly at risk, are kept safe from harm and risks to individuals or groups are identified and managed appropriately.

A range of measures are in place including multi agency strategic planning and operational services providing protection to children, young people and adults at risk. They also include the robust management of High risk offenders through Multi Agency Public Protection Arrangements provide protection to the wider community.

The key priorities for the Health & Social Care partnership and wider partners

- Work to ensure the people, particularly the most vulnerable, are kept safe from harm and risks to individual groups are identified and managed appropriately
- Continue to ensure services and processes work to protect all vulnerable and at risk individuals irrespective of age as agreed by the Public Protection Chief Officers Group and our Child Protection and Adult Protection Improvement Plans
- Continue to implement the Scottish Governments Child Protection Improvement Programme, including early intervention and prevention. Within adult support and protection develop a response to specific areas of harm initially addressing financial harm and hate crime
- Ensure knowledge, skills and awareness across public protection continues to be promoted through multi agency training programmes.

3.3. Workforce

The employer related public sector duties for equalities remain under the responsibility of the Health Board and Council. However, the Health and Social Care Partnership remains committed to effective, joined up work force planning across both health and social care services. This is coupled with a clear commitment to the principles of staff Governance where staff are well informed; appropriately trained; involved in decisions which affect them; treated fairly and consistently and provided with a safe working environment.

3.4. Performance Reporting

The HSCP currently has four previously agreed [equality outcomes](#) that will continue to be measured in 2020-2024. These outcomes are integrated into the standard HSCP performance reporting framework which means they continue to be included in the annual and public performance reports which are scrutinised by the Audit and Performance Committee.

To ensure a mainstreaming approach, equality outcomes are aligned with the national outcome measures for integration as well as corresponding national outcomes for children and young people as well as community justice as defined by the Scottish Government.

In line with the phased approach which the HSCP has adopted in developing equality outcomes to cover all protected characteristics, a further equality outcome has been added

for 2020/21. This connects to the ambition of the district nursing service to provide a holistic and personalised service which takes account of spiritual care, palliative care and bereavement in line with the values of the [Realistic medicine programme](#)

The new outcome for 2020-2021 is

1a All adults supported by District Nursing teams are asked about their religion /beliefs.

1b Scope out the service considerations of patient's religious/beliefs in relation to their ongoing care.

4. Equality Outcome Measures

Equality Outcome	Question to be answered	Performance Measure	Information Source	Protected Characteristic	Link Health and Social Care Standards headline outcome	Link to HSCP Health And Wellbeing Outcomes or National Outcomes for Children and Criminal Justice	Link to Wider Theme	Link to General Equality Duty
Equality Outcome 2020/21 All adults supported by District Nursing teams have their religious/beliefs considered by the service in relation to their ongoing care.	1a All adults supported by District Nursing teams are asked about their religion /beliefs 1b Scope out options for further development of service considerations of patient's religious/beliefs for their care	The percentage of patients who require District Nurse support who have their Religious/belief preferences recorded and planned for where appropriate	Community Nursing Information System CNIS	Religion/Belief	I experience high quality care and support that is right for me	Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services	NHSGGC Faith and Belief Communities Manual	Advance equality of opportunity
Equality Outcome 2018/19 All appropriate IJB have a duty to prepare an adult care and support plan (ACSP) or young carer statement (YCS) for anyone they identify as a carer, or for any carer who requests one	Is there a difference in uptake by age of adult care and support plan or young carer statement for eligible people in West Dunbartonshire?	Percentage of people who have been identified as a carer who have a support plan in place/ Young Carer Statement	CareFirst	Age	I experience high quality care and support that is right for me	People who provide unpaid care are supported to look after their own health and wellbeing, including to reduce any negative impact of their caring role on their own health and Well-being.	Carers Support (WDHSCP Adult commissioning priorities)	Advance equality of opportunity

<p>Equality outcome 2017/18 All people with learning disabilities known to the HSCP are enabled to access employment where appropriate</p>	<p>Are all appropriate learning disabilities clients able to access open and non open employment opportunities?</p>	<p>Percentage of adults over the age of 16 who are known to specialist HSCP learning disability services who have employment opportunities</p>	<p>Collected by HSCP Learning Disability Services for central publication by Scottish Commission for Learning Disability</p>	<p>Disability</p>	<p>I experience high quality care and support that is right for me</p>	<p>Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services</p>	<p>Support independent living (WDHSCP Adult commissioning priorities) Keys to Life Strategy</p>	<p>Advance equality of opportunity</p>
<p>Equality outcome 2016/17 All Looked after children are cared for in the most homely setting</p>	<p>Is there a difference between the percentage of BME Looked after children who are looked after in the community and the wider looked after children population?</p>	<p>Percentage of children being looked after in the community</p>	<p>CareFirst</p>	<p>Race</p>	<p>I experience high quality care and support that is right for me.</p>	<p>Our children have the best possible start in life and are ready to succeed or We have improved the life chances for children, young people and families at risk.</p>	<p>Shifting the Balance of Care (NHSGGC) Improve life chances for children and young people. (WDC)</p>	<p>Advance equality of opportunity</p>
<p>Equality outcome 2016/17 All Older People are supported to live in their community</p>	<p>Is there a difference between the percentage of men and women who have assessed care at home needs and a reablement package who have reached their agreed personal outcomes</p>	<p>Percentage of adults with assessed care at home needs and a reablement package who have reached their agreed personal outcomes</p>	<p>CareFirst</p>	<p>Sex</p>	<p>I experience high quality care and support that is right for me</p>	<p>Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services</p>	<p>Reshaping care for older people (NHSGGC). Improve care for and promote independence with older people. (WDC)</p>	<p>Advance equality of opportunity</p>

Rationale for not specifying equality outcomes for the other protected characteristics at this stage are summarised below

Sexual orientation

A specific equality outcome concerning sexual orientation has not been included at this stage due to sparseness of the data collected in relation to this protected characteristic. The intention is that a specific “sexual orientation” related outcome measure would be identified for equality monitoring prior to the 2022 update. Work is in development across NHSGGC and NHS Lothian to look at the health needs of Lesbian, Gay, bisexual and transsexual people via comprehensive qualitative and quantitative research. The findings from this research will help inform work at HSCP level in relation to this protected characteristic.

Gender reassignment

Currently, there is no robust and recommended question with which to collect information on gender identity in surveys or other data sources. The HSCP continues to promote and implement the NHSGGC Gender Reassignment Policy; and raise awareness of third party reporting for hate crime.

Maternity and Pregnancy

Supporting pregnant employees working within the HSCP remain the responsibility of the Health Board and the Council. WDHSCP will continue to support local staff by implementing the relevant organisational policies and procedures as appropriate. The HSCP has a leading role on behalf of Community Planning partners in the local implementation of the national Pregnancy and Parenthood in Young People Strategy 2016-2026.

5. Equality Outcomes Reporting

5.1. New Outcome 2020 Religion/Belief

All adults supported by District Nursing teams have religious/belief considered (where appropriate) in relation to ongoing care.

<i>Protected Characteristic Religion/Belief</i>	<i>Baseline 2020/21</i>
Number of adults supported by District Nursing team	Baseline 2020/21
Number of adults who have recorded Religious/Belief	
Percentage of adults who have recorded Religious/Belief	

5.2. Age

All Adult care and support plan (ACSP) or young carer statement (YCS) are prepared for anyone they identify as a carer, or for any carer who requests one.

<i>Protected Characteristic Age</i>	<i>2019/20</i>
Number of young carers known to HSCP eligible for a young Carers Statement	Data expected post year end as not measured on a quarterly basis
Number of young carers who have a young carer statement in place (reviews Undertaken)	
% of eligible young carers known to HSCP who have a young carer statement in place	
Number of adult carers known to the HSCP eligible for adult care and support plan	
Number of adult carers known to HSCP have an adult care and support plan	
% of eligible adult carers known to the HSCP who have an adult care support plan in place	

The HSCP has continued to focus on ensuring that all carers have the support that they require. The HSCP has worked closely with [Y Sort it and Carers of West Dunbartonshire](#) to promote access to carer support for all ages. The national Carers census which is due out in spring 2020 will also be used to measure this outcome.

5.3. Disability

All appropriate learning disabilities clients able to access open and non open employment opportunities

<i>Protected Characteristic Disability</i>	<i>Baseline 2016/17</i>	<i>2017/18</i>	<i>2018/19</i>
Number of adults over the age of 16 years who are known to specialist HSCP learning disability services	530	460	467
% of adults over the age of 16 years who are known to specialist HSCP learning disability services who have employment or training opportunities	3.2%	2.8%	2.8%

Previously information gathered nationally for people with a learning disability related to people who have had contact with the HSCP in the previous 3 years. From 2017/18 this has been changed to contact within the previous year, hence the drop in number. The HSCP continues to maximise use of its own supported employability programme [Work Connect](#) to increase this however it is also building new relationships with wider employability providers including [Working 4 U](#) and [Fair Start](#) as part of the Keys to Life learning disability action plan

5.4. Race

All looked after children are cared for in the most homely setting

<i>Protected Characteristic Race</i>	<i>Baseline Q3 2015/16</i>	<i>2017/18</i>	<i>2018/19</i>	<i>Q3 2019/20</i>
Number of looked after children	376	407	492	501
Number of looked after children who are from BME communities	5	8	14	18
Balance of care for looked after children: % of children looked after in the community	90.4%	90.3%	85.7%	72.2%
% of children being looked after in the community who are from BME communities	80%	75%	91.5%	90.0%

Full year data for 2019/20 will not be available until summer 2020. The numbers of BME children and young people who are looked after in West Dunbartonshire continues to be very small however is increasing and the proportion of BME children and young people who are looked after in a homely setting is being sustained. The continued focus of the [Permanence and Care Programme](#) on permanent homes and the local work of the [champions board](#) on love, respect and opportunities for all care experienced young people in West Dunbartonshire appear to being implemented equitably for children and young people of all ethnicities.

5.5. Sex

All older people are supported to live in their community (difference in sex accessing care at home needs and an enablement package)

<i>Protected Characteristic Sex</i>	<i>Baseline Q4 2015/16</i>	<i>Q4 2017/18</i>	<i>2018/19</i>
Number of men with assessed care at home needs and a reablement package who have reached their agreed personal outcomes	23	26	84
Number of women with assessed care at home needs and a reablement package who have reached their agreed personal outcomes	32	54	175
Percentage of men with assessed care at home needs and a reablement package who have reached their agreed personal outcomes	78%	46.8%	57.9%
Percentage of women with assessed care at home needs and a reablement package who have reached their agreed personal outcomes	44%	68.4%	57.4%

The overall number of assessments completed have increased by 69.0% and 69.1% for men and women respectively. With the percentage of clients reaching their agreed personal outcome similar across both sexes. Reablement continues to be a focus for the care at home service and completion of personal outcomes by sex will continue to be monitored and access to a range of digital products encouraged <https://www.digihealthcare.scot/> .

6. Appendix 1 Equality Strategies & HSCP Response 2018/20

<i>Strategy</i>	<i>Key points for health and social care response</i>	<i>HSCP Response 2018/20</i>
Key to Life Implementation Framework 2019- 2021	<p>Services continue to implementing the Keys to Life Strategy</p>	<p>Healthy Life Action Plan including a comprehensive learning and development plan in place for service staff and carers.</p> <p>Mainstreaming of Bowel Screening Quality Improvement Project and extending to include breast and cervical screening.</p>
Becoming Breastfeeding Friendly Scotland Report (2019)	<p>Ensuring families have access to evidence-based infant feeding support when and how they need it</p> <p>Promoting a supportive return to work environment for breastfeeding women through greater awareness and application of employment and child care</p>	<p>Completion of Breastfeeding Gold Award By HSCP Health visiting team.</p> <p>Improvement methodology for breast feeding</p> <p>Work to raise public awareness of breastfeeding</p>
Fairer Scotland Older People Framework (2019)	<p>To challenge the inequalities older people face as they age and to celebrate older people in Scotland</p>	<p>WDHSCP leads on the strategic priority of Supporting Older People across Community Planning Partners, primarily through the vehicle of the Community Planning structures. Work is currently ongoing across community planning partners on the development of a Co-produced Ageing Friendly West Dunbartonshire Framework.</p>