

**FROM:** Audit and Risk Manager  
**TO:** Head of Health and Community Protection  
**C.C.** Chief Executive  
Deputy Chief Executive (BH)  
Head of Finance  
Community Partnership Manager  
Portfolio Holder (Cllr Judy Falp)

**SUBJECT:** Health and Wellbeing  
**DATE:** 19 July 2019

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## 1 Introduction

- 1.1 In accordance with the Audit Plan for 2019/20, an examination of the above subject area has been undertaken and this report presents the findings and conclusions drawn from the audit for information and action where appropriate.
- 1.2 Wherever possible, findings have been discussed with the staff involved in the procedures examined and their views are incorporated, where appropriate, into the report. My thanks are extended to all concerned for the help and cooperation received during the audit.

## 2 Background

- 2.1 Health and Wellbeing helps the Council to address one of the three key strands from the Fit for the Future (FFF) strategy – People. Aiming to improve the health and wellbeing both for employees of Warwick District Council and within the different communities across the District.
- 2.2 Working with a very small budget of £200 the Health and Wellbeing actions and interventions rely on using the resources available to achieve the best outcomes.

## 3 Scope and Objectives of the Audit

- 3.1 The audit was undertaken to test the management and financial controls in place.
- 3.2 In terms of scope, the audit covered the following areas:
- Priorities and actions
- 3.3 The audit programme identified the expected controls. The control objectives examined were:
- Priorities are relevant and likely to positively impact the district.
  - Actions are appropriate and expected to have a positive impact.

- Actions are carried out appropriately and monitored according to the action plan.
- Actions are assessed for impact, where this is possible.
- Progress is shared with senior management.

3.4 Human Resources also focus on Health and Wellbeing, addressing the internal needs. Although it has been covered in the Internal Audit of Human Resources Management it will also be touched on in this audit.

## 4 Findings

### 4.1 Recommendations from Previous Report

4.1.1 As this is a new audit there are no previous recommendations to report.

### 4.2 Priorities and Actions

4.2.1 Priorities selected come from a wide range of sources, both locally and nationally. They include: Warwickshire County Council (WCC) Health and Wellbeing Strategy, WCC Health and Wellbeing Board Annual Report, Joint Strategic Needs Assessment, Director of Health Annual Report, Public Health England Annual Plan and the Sustainable Community Strategy.

4.2.2 Priorities are chosen by the members of the Health Scrutiny Sub-Committee. The priorities selected are expected to have a positive impact within the District and be achievable for the Council as well as helping the Council address the People strand from the FFF strategy.

4.2.3 The current priorities are to: embed health and wellbeing at a strategic level, promote health and wellbeing in the wider district, and address the health and wellbeing of our own staff.

4.2.4 Despite having a small budget the priorities are selected because they will make a difference to the district and have a positive impact. There are a large number of priorities to choose from, by selecting a smaller range to address, it allows the Council to focus their resources on the chosen aims.

4.2.5 Each main priority has a number of actions and interventions allocated to it. Many of the actions and interventions are already carried out by staff as part of their day-to-day role. However, there are some additional actions which are being carried out to run alongside the Year of Wellbeing (Coventry and Warwickshire) or the Health and Wellbeing Scheme (BUPA) themes.

4.2.6 There are three main Health and Wellbeing Action plans within the Council:

- The Health Officers Group action plan, organised by Health and Community Protection, collates all actions and interventions within the Council.
- The People Strategy Action Plan, part of the Human Resources service, focusing on actions and interventions that affect the staff at the Council.
- The Health and Wellbeing plan, which runs alongside the People Strategy Action Plan, focusing on internal communication, promotion and engagement actions.

- 4.2.7 Warwick District Council Health Officers Group (HOG) is tasked with identifying and recognising all of the contributions made by the Council towards the Health and Wellbeing agenda. They then collate the actions and interventions into one action plan.
- 4.2.8 The HOG action plan is separated into service areas with the actions allocated accordingly. There are additional actions and interventions suggest by HOG which are incorporated into the plan. Currently the action plan lists 115 different actions and interventions that are being addressed within the Council. Although this seems high many of the actions are ongoing and part of a regular day-to-day job role. The day-to-day roles were initially added to the plan to show how health and wellbeing is addressed across the Council. A new plan is currently being developed which will include current actions, the day-to-day actions will be logged separately. This will allow there to be fewer items needing to be updated, resulting in less time required from staff.
- 4.2.9 The People Strategy Action Group (PSAG) creates and maintains the internal health and wellbeing element of the PSAG action plan which includes any internal health and wellbeing actions. These actions are also entered on to the HOG plan.
- 4.2.10 As part of the PSAG there is a correlating Health and Wellbeing Action Plan based on communication, promotion and engagement. This is put together by the Media team and co-ordinated with HR and the Learning and Development Officer. This lists actions and interventions that are carried out to promote health and wellbeing internally.

### **Risk**

**There may be time spent duplicating actions on to the various plans or confusion when updating and using them.  
There may be failure to share the information on to the main HOG plan.**

### **Recommendation**

**Consider how action plans are managed with the possibility of them being maintained as separate plans for internal (staff), media and external actions with the overall aim of the separate plans entered on to the HOG action plan.**

- 4.2.11 The Health and Wellbeing budget is managed to ensure that where possible, actions and interventions are free and / or make use of the existing resources and staff skills already available.
- 4.2.12 Upon review, it was confirmed that the interventions and actions identified on the action plans are appropriate for the service area and have been allocated to the relevant priority.
- 4.2.13 Once allocated on the HOG action plan, the intervention or action becomes the responsibility of a named officer, usually a staff member within the relevant service area nominated by the Head of Service. The named officer reports and updates on the actions at HOG meetings and inputs the information on to the action plan to keep it up to date. Furthermore, whilst HOG meets every six

weeks to discuss the actions and interventions, attendance at these meetings is often poor, with only a couple of staff members that frequently attend. In discussion with the HOG members, some felt that HOG was seen as an additional role rather than part of their job. This meant they felt they couldn't always commit to the time needed or justify it if they were busy.

### **Risk**

**Without the commitment from the members of HOG the group may not be able to function, forcing it to dissolve.**

### **Recommendation**

**Management should be aware of the commitment required from HOG members and ensure they are given the time to be able to commit to the meetings and provide input as required.**

- 4.2.14 The Localities and Partnership Officer monitors the HOG action plan and the actions being addressed to ensure progress is made and that the allocated named officers are updating the plan. The named officers frequently need to be chased for updates. Some of the actions on the plan have not been updated since October 2018, others have but the date has not been changed so it is unclear when the update was added.

### **Risk**

**Information provided from the HOG action plan for reports may be inaccurate or out of date.**

### **Recommendation**

**Management involvement with HOG could help to encourage named officers to update the plan.**

- 4.2.15 The PSAG plan is updated frequently by the group. They regularly attend meetings to provide updates. The plan is managed and monitored by the Senior Management Team (SMT).
- 4.2.16 The communications and engagement element of the actions are updated frequently with reports and updates being given to SMT and the PSAG. As the plan is maintained by one main member of staff as part of their role, there is time allocated to ensure it is up to date and addressed as needed.
- 4.2.17 Outcomes and impacts are difficult to measure as many of the actions and interventions will not have an instant outcome or impact or they may not be measurable. HOG are encouraging services to find actions that are measurable so results can be recorded and shared.
- 4.2.18 Where impacts can be measured, the information is recorded in reports and circulated to SMT and the Health Scrutiny Sub-Committee. This has included results such as the breast feeding training, breast feeding friendly buildings and walking for health, both within the community and internally with staff "Trainers on Tuesday" walks.

4.2.19 Progress on Health and Wellbeing is reported frequently to SMT, Health Scrutiny Sub-Committee, Employment Committee, Warwickshire Health and Wellbeing Board, the Portfolio Holder for Health and Community Protection, the WSG and People Strategy Steering Group. This is usually an update on a specific action or priority. There are also updates provided on the overall status of the various action plans.

4.2.20 Health and wellbeing actions which were reported to the Warwickshire Health and Wellbeing Board were mentioned in their 2017 review as part of "101 ways we are improving health and wellbeing in Warwickshire". It included the breastfeeding scheme and walking for health as well as a number of other actions that Warwick District Council have implemented.

## 5 **Summary & Conclusion**

5.1 Following our review, we are able to give a SUBSTANTIAL degree of assurance that the systems and controls that are currently in place in respect of Health and Wellbeing are appropriate and are working effectively.

5.2 The assurance bands are shown below:

<b>Level of Assurance</b>	<b>Definition</b>
Substantial Assurance	There is a sound system of control in place and compliance with the key controls.
Moderate Assurance	Whilst the system of control is broadly satisfactory, some controls are weak or non-existent and there is non-compliance with several controls.
Limited Assurance	The system of control is generally weak and there is non-compliance with controls that do exist.

5.3 There were minor issues, however, identified during the course of the audit relating to:

- The duplication of work and potential confusion regarding the action plans.
- The commitment of HOG members to attend meetings.
- The involvement of Senior Management in the Health Officers Group.

## 6 **Management Action**

6.1 The recommendations arising above are reproduced in the attached Action Plan (Appendix A) for management attention.

Richard Barr  
Audit and Risk Manager

## Action Plan

## Internal Audit of Health and Wellbeing – July 2019

Report Ref.	Recommendation	Risk	Risk Rating*	Responsible Officer(s)	Management Response	Target Date
4.2.10	Consider how action plans are managed with the possibility of them being maintained as separate plans for internal (staff), media and external actions with the overall aim of the separate plans entered on to the HOG action plan.	There may be time spent duplicating actions on to the various plans or confusion when updating and using them.  There may be failure to share the information on to the main HOG plan.	Low	Localities and Partnerships Officer	The Health and Wellbeing Action Plan is currently being refreshed. As part of the process the recommendation around how action plans are managed and maintained has will be built into the new approach. The HOG lead officer will put in place a mechanism for ensuring that relevant and updated information is on the HOG action plan.	31 Aug 2019
4.2.13	Management should be aware of the commitment required from HOG members and ensure they are given the time to be able to commit to the meetings and provide input as required.	Without the commitment from the members of HOG the group may not be able to function, forcing it to dissolve.	Low	Localities and Partnerships Officer	As part of the refreshed approach to the HOG, the membership has been reviewed to ensure specific teams across the Council have been targeted to form a new refreshed HOG group.	31 Aug 2019
4.2.14	Management involvement with HOG could help to encourage named officers to update the plan.	Information provided from the HOG action plan for reports may be inaccurate or out of date.	Low	Localities and Partnerships Officer	As part of the HOG refreshed approach a new system of version control on action plan updates is being introduced.	On-going

\* Risk Ratings are defined as follows:

High Risk: Issue of significant importance requiring urgent attention.

Medium Risk: Issue of moderate importance requiring prompt attention.

Low Risk: Issue of minor importance requiring attention.