

Title/Subject: Self Assessment in Relation to National Audit Scotland reports

Meeting: Integration Joint Board Audit Committee

Date: 27 February 2017

Submitted By: Ewan Murray, Chief Finance Officer

Action: For Noting

1. INTRODUCTION

- 1.1 Since December 2015 Audit Scotland have published four key reports which directly relate to Health and Social Care Partnerships in Scotland. These are:
- Health and Social Care Integration (December 2015)
 - Changing Models of Health And Social Care (March 2016)
 - Social Work in Scotland (September 2016)
 - NHS in Scotland (October 2016)
- 1.2 The reports are published on the Audit Scotland website (<http://www.audit-scotland.gov.uk/>)

2. RECOMMENDATIONS

The Falkirk IJB Audit Committee is asked to:

- 2.1 Note the self assessments attached in relation to the key recommendations contained within the Audit Scotland reports on Health and Social Care Integration (Appendix I) and Changing Models of Health and Social Care (Appendix II).
- 2.2 Note that the key recommendations from the reports on Social Work in Scotland and NHS in Scotland as they relate to the Falkirk Health and Social Partnership will be considered in conjunction with delivery planning for the Health and Social Care Partnership. It is intended to bring a further report on these to the next Audit Committee meeting.

3. CONCLUSIONS

- 3.1 The National Audit Scotland reports set out the context and key challenges in planning, commissioning and delivery of health and social care services.
- 3.2 The reports also contain recommendations for consideration by IJBs, Local Authorities and NHS Boards in relation to the planning, commissioning and delivery of services.

Resource Implications

Resource implications will be considered within future delivery planning for the partnership including financial plans.

Impact on IJB Outcomes and Priorities

The Audit Scotland reports contain recommendations for consideration by IJBs, Local Authorities and NHS Boards in planning and delivery of services in the future.

Legal & Risk Implications

Legal and Risk implications will be considered within future delivery plans for the Partnership.

Consultation

The Falkirk HSCP leadership group has been consulted on the content of the self assessments.

Equalities Assessment

An equalities assessment will be considered within future delivery plans for the Partnership.

Approved for Submission by: Chief Finance Officer

Author – Chief Finance Officer

Date: 20 February 2017

List of Background Papers: The papers that may be referred to within the report or previous papers on the same or related subjects.

Falkirk IJB 3 June 2016 – Audit Scotland Report

Falkirk HSC Partnership Self-Assessment February 2017: Re Health and Social Care Integration Report published December 2015

Ref:	Key Recommendations	Current Position	Improvement Actions	Lead	Timescale
	<p>Integration authorities should: provide clear and strategic leadership to take forward the integration agenda. This includes:</p> <ul style="list-style-type: none"> ▪ developing and communicating the purpose and vision of the IJB and its intended impact on local people 	<p>The Integration Joint Board (IJB) has agreed the strategic vision for the HSCP and this is set out in the Strategic Plan 2016-2019.</p> <p>The IJB has developed a visual identity for the partnership which will be used consistently across the organisations to support the vision, values and aspirations of the partnership. This will also sit alongside other communication considerations.</p> <p>The IJB has approved a communications plan.</p>			
	<ul style="list-style-type: none"> ▪ having high standards of conduct and effective governance, and establishing a culture of openness, support and respect 	<p>Suite of governance arrangements in place.</p> <p>The IJB Board development session held on December 2015 identified the expected Board values and collaborative behaviours.</p> <p>Review of governance arrangements part of 2016/17 IJB Internal Audit plan.</p>	<p>Scheme of Delegation to be finalised and presented to IJB for approval.</p> <p>Consider recommendations from pending Internal Audit report on governance.</p>	<p>Chief Officer</p> <p>Chief Finance Officer</p>	<p>March 2017</p> <p>March 2017</p>
	<p>Set out clearly how governance arrangements will work in practice, particularly when disagreements arise, to minimise the risk of confusing lines of accountability, potential conflicts of interests and any lack of clarity about who is ultimately responsible for the quality of</p>	<p>The IJB Integration Scheme sets out the arrangements between NHS Forth Valley and Falkirk Council to enable the IJB to meet its responsibilities.</p> <p>The governance arrangements have been agreed by the Board, and there are draft terms of</p>			

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	<p>care and scrutiny. This includes:</p> <ul style="list-style-type: none"> ▪ setting out a clear statement of the respective roles and responsibilities of the IJB (including individual members), NHS board and council, and the IJB's approach towards putting this into practice 	<p>reference developed for the respective groups, including the Strategic Planning Group, Housing Contribution Group.</p> <p>The Clinical and Care Governance Framework and CCG Group will consider a range of issues including:</p> <ul style="list-style-type: none"> ▪ Care Inspectorate Inspections of Care homes and care at home provision ▪ Healthcare Environment reviews ▪ Significant case reviews <p>Work is underway to transfer the operational in scope NHS services to the Chief Officer. This will be over a phased basis commencing early 2017. As part of this the lines of accountability for the in-scope functions that remain within NHS will be agreed.</p> <p>The IJB has approved Standing Orders; Register of Interest and Code of Conduct (adopted from the model code issued by the Scottish Government)</p>			
	<ul style="list-style-type: none"> ▪ ensuring that IJB members receive training and development to prepare them for their role, including managing conflicts of interest, understanding the organisational cultures of the NHS and councils and the roles of non-voting members of the IJB 	<p>The IJB has approved a Board Development Plan in June 2016 which contains a range of development activities including:</p> <ul style="list-style-type: none"> ▪ an area wide Masterclass session with national speakers ▪ individual personal development ▪ series of briefing and discussion session 	<p>Review of development plan and specific development requirements for new voting members post May 2017.</p>	<p>OD Advisor</p>	<p>September 2017</p>
	<p>Ensure that a constructive working</p>	<p>The Chief Officer and Chief Finance Officer meet</p>	<p>Scheme of Delegation being</p>	<p>Chief Officer</p>	<p>March 2017</p>

Ref:	Key Recommendations	Current Position	Improvement Actions	Lead	Timescale
	<p>relationship exists between IJB members and the chief officer and finance officer and the public. This includes:</p> <ul style="list-style-type: none"> ▪ setting out a schedule of matters reserved for collective decision-making by the IJB, taking account of relevant legislation and ensuring that this is monitored and updated when required. 	<p>regularly with the Chair and Vice Chair of the IJB</p>	<p>prepared for consideration and approval by the IJB.</p>		
	<ul style="list-style-type: none"> ▪ ensuring relationships between the IJB, its partners and the public are clear so each knows what to expect of the other 	<p>The Chief Officer is a member of the Community Planning Partnership Leadership Group and has lead responsibility for specific areas of work contained within the SOLD plan. These are: <i>Outcome 4: People live full, independent and positive lives within supportive communities</i> <i>Priority 5: Improving Mental Health and Wellbeing</i></p> <p>In addition the IJB is accountable to the Community Planning Leadership Board for a remit with the:</p> <ul style="list-style-type: none"> ▪ health and wellbeing outcome ▪ substance misuse priority. 			
	<p>Be rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny including:</p> <ul style="list-style-type: none"> ▪ developing and maintaining open and effective mechanisms for documenting evidence for decisions 	<p>IJB Board & Audit Committee meetings are open to the public and reports are available on the website.</p> <p>A separate web page for Health and Social Care Partnership is hosted on NHS Forth Valley website and a dedicated email address has been set up for enquiries.</p>			

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		<p>Adult Social Care budget proposals linked to Falkirk Council budget consultation arrangements (summary of feedback contained within financial report to February 2017 IJB meeting).</p>	<p>Consider consultation arrangements for future years.</p>	<p>Chief Finance Officer</p>	<p>October 2017</p>
	<ul style="list-style-type: none"> ▪ putting in place arrangements to safeguard members and employees against conflict of interest and put in place processes to ensure that they continue to operate in practice 	<p>Within respective employers organisations there are Code of Conduct's in place</p> <p>As previously noted the IJB has in place a Code of Conduct and Register of Interests for Board members</p>	<p>Subject to periodic review in light of experience, government guidance and any legislative changes.</p>	<p>Standards Officer</p>	<p>Annually</p>
	<ul style="list-style-type: none"> ▪ developing and maintaining an effective audit committee 	<p>The IJB Audit Committee has been established and held its first meeting on 22 September 2016.</p> <p>A schedule of meetings for 2017 has been established.</p> <p>Consider future chairing of Audit Committee post March 2017.</p>	<p>Appoint new Audit Committee chair.</p>	<p>IJB</p>	<p>March 2017</p>
	<ul style="list-style-type: none"> ▪ ensuring that effective, transparent and accessible arrangements are in place for dealing with complaints 	<p>The IJB has agreed a process to manage and report on complaints.</p>			
	<ul style="list-style-type: none"> ▪ ensuring that an effective risk management system is in place 	<p>The IJB has approved a Risk Management Strategy and Strategic Risk Register. This is being reviewed and will report to the Board in March 2017.</p>	<p>Consider implications of review.</p>	<p>Chief Officer and Chief Finance Officer</p>	<p>March 2017</p>

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		Risk is a standard item within the IJB Board reporting template.			
	Develop strategic plans that do more than set out the local context for the reforms. This includes:				
	<ul style="list-style-type: none"> ▪ how the IJB will contribute to delivering high-quality care in different ways that better meet people's needs and improves outcomes 	Through the <ul style="list-style-type: none"> - Strategic Planning Group - CCG Group - Participation & Engagement Group 			
	<ul style="list-style-type: none"> ▪ setting out clearly what resources are required, what impact the IJB wants to achieve, and how the IA will monitor and publicly report their progress 	2017/18 budget will consider at high level alignment of deployment of resources with Strategic Plan priorities. It is important to consider this in context of ongoing constraints in public expenditure. Public reporting will be through Annual Performance Report and Financial Statements	Consider data requirements and format of annual reporting.	Chief Officer, Chief Finance Officer and Performance Leads	Per legislative requirements.
	<ul style="list-style-type: none"> ▪ developing strategies covering the workforce, risk management, engagement with service users and data sharing, based on overall strategic priorities to allow the IA to operate successfully in line with the principles set out in the Act and ensure these 	The following plans are in place: <ul style="list-style-type: none"> ▪ Integrated Workforce Plan ▪ Risk Management Strategy ▪ Participation and Engagement Strategy 	Review consider further development including how these support development of localities.	HSCP Leadership Group	6 monthly

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	<p>strategies fit with those in the NHS and councils</p> <ul style="list-style-type: none"> ▪ making clear links between the work of the IA and the Community Empowerment (Scotland) Act and Children and Young People (Scotland) Act 	<p>The IJB is a member of the Community Planning Partnership (CPP)</p> <p>The IA is working in partnership to make strong links at locality level with CPP locality planning and community empowerment. The IA locality areas are broadly aligned with CPP</p> <p>The Chief Social Work Officer (CSWO) is a member of the IJB and also acts as the link between Children Services as the Head of Social Work – Children Services</p>	<p>Consider how CSWO annual report can be used to this purpose.</p>	<p>CSWO</p>	<p>ongoing</p>
	<p>Develop financial plans that clearly show how IAs will use resources such as money and staff to provide more community-based and preventative services. This includes:</p> <ul style="list-style-type: none"> ▪ developing financial plans for each locality, showing how resources will be matched to local priorities ▪ ensuring that the IJB makes the best use of resources, agreeing how Best Value will be measured and making sure that the IJB has the information needed to review value for money and performance effectively 	<p>Section 8.3 of the Integration Scheme sets out the arrangements for agreeing the IJB budget or payment for the years subsequent to the initial year. This paper has been written to support this process taking into account, as far as possible, the extant national finance guidance for partnerships from IRAG.</p> <p>As described in the Integration Scheme a degree of flexibility and pragmatism has been applied in interpreting and applying the national guidance specifically in relation to:</p> <ul style="list-style-type: none"> ▪ The relatively early stage of the evolution of the partnership ▪ The current stage of development of performance management reporting and 	<p>Financial planning for localities and alignment to priorities is a medium term goal.</p> <p>Best Value statement required as part of Financial Statements.</p>	<p>Chief Finance Officer</p> <p>Chief Finance Officer</p>	<p>March 2018</p> <p>Per statutory reporting timescales.</p>

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		<p>timing of available data</p> <ul style="list-style-type: none"> ▪ Differences in financial planning and budget setting cycles of Local Authorities and NHS Boards ▪ Quality and availability of information in relation to in-scope services ▪ Current demand and costs pressures across in-scope services ▪ Ongoing work to develop the Delivery Plan and locality planning arrangements to implement the priorities of the strategic plan, including supporting detailed financial plans ▪ Current levels of economic and financial uncertainty. <p>The sophistication and therefore robustness of this process will improve in the coming years as the partnership arrangements develop and the co-relation between Strategic Plan delivery (including development of localities), Performance and Finance develops.</p> <p>Work has taken place to ensure that Partnership Funding - Integrated Care Fund and Delayed Discharge - monitoring processes adopt and support a strategic approach to service re-design and future targeting of partnership funding. This will ensure the partnership is able to use the funding available to improve outcomes for service users and their carers, achieve leverage and re-shape current initiatives, where required.</p>			
	Shift resources, including the workforce,	Consider within delivery planning to underpin	Development of Medium to	Chief	October 2017

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	towards a more preventative and community-based approach; it is important that the IA also has plans that set out how, in practical terms, they will achieve this shift over time.	Strategic Plan and associated financial plans. 2017/18 budget will be presented for approval by IJB	Longer Term Financial Planning for IJB	Finance Officer	
	Integration authorities should work with Councils and NHS boards to: recognise and address the practical risks associated with the complex accountability arrangements by developing protocols to ensure that the chair of the IJB, the chief officer and the chief executives of the NHS board and council negotiate their roles in relation to the IJB early on in the relationship and that a shared understanding of the roles and objectives is maintained				
	review clinical and care governance arrangements to ensure a consistent approach for each integrated service and that they are aligned to existing clinical and care governance arrangements in the NHS and councils	The IJB has approved a Clinical and Care Governance (CCG) Framework and established a CCG group to oversee the required arrangements. The CSWO has agreed to chair CCG until June 2017 The IJB received a report on the work of the CCG group in December 2016	Review CCG Framework within Internal Audit Plan Regular update reports to IA	Chair of CCG Chief Officer	April 2017 6 monthly
	urgently agree budgets for the IA; this is	The IJB held a special meeting on 18 November			

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	important both for their first year and for the next few years to provide IAs with the continuity and certainty they need to develop strategic plans; this includes aligning budget-setting arrangements between partners	<p>2016 to consider the IJB budget and Business case for 2017/18 with a further update being presented to February 3rd IJB meeting.</p> <p>Budget paper will be presented to IJB for approval at Special meeting on 30 March 2017.</p> <p>Work ongoing nationally to improve future alignment of budget setting between NHS and Local Authorities.</p>	Influence and consider implications of national work on aligning budgets.	Chief Finance Officer	<p>March 2017</p> <p>Ongoing</p>
	establish effective scrutiny arrangements to ensure that councillors and NHS non-executives, who are not members of the IJB board, are kept fully informed of the impact of integration for people who use local health and care services	<p>Further consideration required including how constituent authorities consider annual performance report.</p> <p>Report to Falkirk Council External Scrutiny panel</p> <p>Report to NHS FV Board</p>		Chief Finance Officer	Following publication in June 2017
	put in place data-sharing agreements to allow them to access the new data provided by ISD Scotland.	Data Sharing agreement in place	Periodic Review – Suggest annually unless specific issues arise.	Relevant Leads within Constituent Authorities	Annually

Falkirk HSC Partnership Self-Assessment February 2017 Re: Audit Scotland Report: "Changing Models of Health and Social Care Report March 2016"

Ref	Recommendations	Current Position	Improvement Actions	Lead	Timescale
	<p>NHS boards and councils should work with integration authorities during their first year of integration to:</p> <ul style="list-style-type: none"> ▪ carry out a shared analysis of local needs, and use this as a basis to inform their plans to redesign local services, drawing on learning from established good practice 	<p>The Falkirk HSCP Strategic Plan was produced taking into account analysis on local needs including the Joint Strategic Needs Assessment (JSNA), NHS Forth Valley Clinical Services Review, Falkirk Council Community Care Housing Needs Analysis.</p> <p>Joint Strategic Needs Assessment published March 2016</p> <p>Locality Profiles published June 2016</p>	<p>Information from Joint Strategic Needs Assessment will continue to inform planning going forward and will be supplemented as further intelligence emerges.</p>	<p>HSCP Senior Management Team</p>	<p>Ongoing</p>
	<ul style="list-style-type: none"> ▪ ensure new ways of working, based on good practice from elsewhere, are implemented in their own areas to overcome some of the barriers to introducing new care models 	<p>Falkirk HSCP are members of the national Health and Social Care Benchmarking Network</p> <p>Terms of Reference to PC as COs looking to do similar</p> <p>The Partnership is actively engaging with HIS, TRIST and NES to secure additional capacity to support a range of work including whole systems mapping, Discharge to Assess, Community Equipment/Adapting for Change and reablement services</p> <p>Working around 24 hours and improvements around out of hours services</p>	<p>Adopting principles around evidence based practice in developing / informing models to underpin all work.</p> <p>Consideration of how are we set up to implement and evaluate new models and how these contribute to sustainable service delivery.</p> <p>Use of available benchmarking data to inform planning and service delivery.</p>	<p>HSCP Senior Management Team</p>	<p>Ongoing</p>

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	<ul style="list-style-type: none"> move away from short-term, small-scale approaches towards a longer-term approach to implementing new care models. They should do this by making the necessary changes to funding and the workforce, making best use of local data and intelligence, and ensuring that they properly implement and evaluate the new models 	<p>Work has taken place to ensure that Partnership Funding - Integrated Care Fund and Delayed Discharge - monitoring processes adopt and support a strategic approach to service re-design and future targeting of partnership funding. This will ensure the partnership is able to use the funding available to improve outcomes for service users and their carers, achieve leverage and re-shape current initiatives, where required.</p> <p>Work is ongoing to review Partnership arrangements for commissioning services to Third Sector organisations in line with Audit Scotland and the Accounts Commission, 'Following the Public Pound' guidance.</p> <p>The review has given consideration to the current governance and scrutiny in place for in-scope services commissioned by NHS Forth Valley or Falkirk Council, without a tendering arrangement, therefore falling within the criteria of 'Following the Public Pound' (FPP). The governance framework will allow the IJB to allocate resource to arms-length and external organisations and thereafter scrutinise efficiency and performance in line with the Local Delivery Plan.</p> <p>Work to finalise the framework is on-going and the final framework will be presented to the IJB after consideration by the audit committee in February 2017.</p>	<p>Further consideration needs to be given to how this approach can be applied consistently across the different funding streams made available to partners eg Primary Care Transformation Fund.</p> <p>Alignment of delivery planning, including development of localities, with financial plan.</p> <p>Present commissioning framework to Audit Committee for consideration then IJB for approval.</p>	<p>HSCP Senior Management Team</p>	<p>Ongoing</p> <p>March 2017 (for 2017/18 budget)</p> <p>February 2017 Audit Committee and IJB thereafter.</p>

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	<ul style="list-style-type: none"> ▪ ensure, when they are implementing new models of care, that they identify appropriate performance measures from the outset and track costs, savings and outcomes 	<p>The IJB approved governance and monitoring arrangements for partnership funds and these have been implemented.</p> <p>A Partnership Funding group has been formed to assess and monitor partnership funding. Recommendations made by the group will be presented to the Strategic Planning Group and then to the IJB. The Strategic Planning Group has an on-going role in monitoring the Partnership's progress towards strategic outcomes and priorities.</p> <p>Partnership Funds are allocated through a single governance process, which is intended to provide transparency of allocation and allow effective performance monitoring.</p> <p>The evaluation framework has been designed in line with the RE-AIM framework, which enables formative assessment, providing feedback on initiatives as they develop and summative assessment, which helps inform funding decisions.</p> <p>Failure to comply with monitoring requirements or to progress initiatives within 3 months of award will result in escalation to Chief Officer. On-going failure to comply with monitoring requirements or failure to progress initiative within 6 months will result in escalation to IJB and possible withdrawal of award</p>	<p>For ongoing consideration as Performance Management and Reporting arrangements continue to evolve.</p>	<p>HCSP Senior Management Team</p>	<p>Ongoing</p>

APPENDIX II

Ref	Recommendations	Current Position	Improvement Actions	Lead	Timescale
	<ul style="list-style-type: none"> ▪ ensure clear principles are followed for implementing new care models 	<p>Partnership Funds are allocated in line with any nationally set principles for investment. In addition funds are allocated taking into account their direct contribution to addressing need identified within the JSNA and in meeting the Strategic Plan outcomes and priorities.</p>	<p>Future consideration as implementation of strategic plan, including development of localities is aligned with use of resources.</p>	<p>HSCP Senior Management Team</p>	<p>Ongoing</p>