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**To: Renfrewshire Integration Joint Board**

**On: 26 January 2018**

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**Report by: Chief Officer**

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**Heading: Non-financial Governance Arrangements**

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## **1. Summary**

- 1.1. The purpose of this report is to provide an update to members on the non-financial governance arrangements in place from 1 April 2017. The report also provides performance information regarding Freedom of Information (Fol) and Complaints. This report covers the 6 month period 1 April to 30 September 2017.
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## **2. Recommendation**

It is recommended that the IJB note the content of this Report, specifically around:

- Freedom of Information (Fol) and Publication Scheme;
  - Health and Safety;
  - Complaints;
  - Business Continuity; and
  - Insurance and Claims.
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## **3. Freedom of Information**

### Background

- 3.1. The Freedom of Information (Scotland) Act 2002 (FoISA) came into force on 1 January 2005 and created a general right to obtain information from a public authority subject to limited exemptions. The IJB is therefore subject to FoISA as a public authority within its own right. Although the IJB will only hold a very limited amount of information, it must respond to Freedom of Information requests made directly to the IJB for information which it holds within the statutory timescale and have its own Publication Scheme. The IJB adoption of the Model Publication Scheme (MPS) was submitted to the Scottish Information Commissioner's office on 8 November 2016. The Commissioner has approved this scheme until 31 May 2019.

3.2. In July 2017, the Commissioner requested that the following Key Changes be made:

1. The addition of a “Terms used” glossary
2. Revisions to the terminology used throughout the MPS to ensure consistency across the MPS and Guidance
3. Clarification that the Commissioner requires to be notified if the legal status of an authority changes at paragraph 9(ii).

3.3. A link to the revised IJB Publication Scheme is noted below.  
[http://www.renfrewshire.hscp.scot/media/5708/Renfrewshire-IJB-Model-Publication-Scheme-Dec-2017/pdf/Renfrewshire\\_IJB\\_Model\\_Publication\\_Scheme\\_Dec\\_2017.pdf](http://www.renfrewshire.hscp.scot/media/5708/Renfrewshire-IJB-Model-Publication-Scheme-Dec-2017/pdf/Renfrewshire_IJB_Model_Publication_Scheme_Dec_2017.pdf)

#### Requests Received

3.4. During the period 1 April to 30 September 2017, the IJB did not receive any requests for information. Statistical information regarding IJB Fols continues to be uploaded directly onto the Scottish Information Commissioner’s statistics database on a quarterly basis, including nil returns.

3.5. It was agreed that any Fol relating to the operational delivery of health and adult social care serviced received by the Local Authority or NHS Greater Glasgow & Clyde would be shared with the Health & Social Care Partnership.

3.6. During the 6 month period, Renfrewshire Council received 53 Fol requests specifically regarding adult social care. The main issues and themes raised included:

- Care at Home (domiciliary care);
- Disabilities; and
- Self-Directed Support (SDS).

3.7. During the specified timeframe, no Fol requests were received specifically for information regarding health services within Renfrewshire.

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## **4. Health & Safety**

### Background

4.1. The employment status of employees working within the HSCP remains with NHS Greater Glasgow & Clyde or Renfrewshire Council.

As a consequence, the statutory responsibility for Health & Safety also lies with these bodies.

- 4.2. The Health & Safety arrangements within NHS Greater Glasgow & Clyde are governed by the Health & Safety Forum reporting to the NHS Board's Staff Governance Committee and Area Partnership Forum (APF).
- 4.3. The Health & Safety arrangements within Renfrewshire Council are governed by the corporate Health and Safety section which inform the Chief Executive and Directors. This is further enhanced with the application of a health and safety management system which is certified to BS OHSAS 18001: 2007 and this is reflected in the corporate health and safety plan.
- 4.4. An HSCP Health & Safety Committee has been formed and has service representation from health council staff and partnership representation.
- 4.5. The Health & Safety Committee's role within the Partnership is to co-ordinate the implementation of respective NHS Greater Glasgow & Clyde and Renfrewshire Council health and safety policies, strategies and action plans and take guidance from respective health and safety advisers as required.
- 4.6. The NHS Greater Glasgow & Clyde strategy and action plan has been developed and adapted for local use. The Committee meets four times per annum.

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## **5. Complaints**

- 5.1. The Complaints Standards Authority (CSA) has worked closely with a range of partners and stakeholders to develop Model Complaints Handling Procedures (CHPs) for each public service sector.
- 5.2. These model CHPs have been developed in line with the recommendations of the Sinclair<sup>1</sup> report that the Scottish Public Services Ombudsman (SPSO) simplify and improve complaints handling by developing standardised CHPs. They have also been developed within the framework of the SPSO Statement of Complaint Handling Principles, approved by the Scottish Parliament, and Guidance on a Model Complaints Handling Procedure.
- 5.3. The Model CHPs for NHS, Social Work and Integrated Joint Boards came into effect on 1 April 2017 and states that Stage 1 complaints (previously informal complaints) should be straightforward, easily

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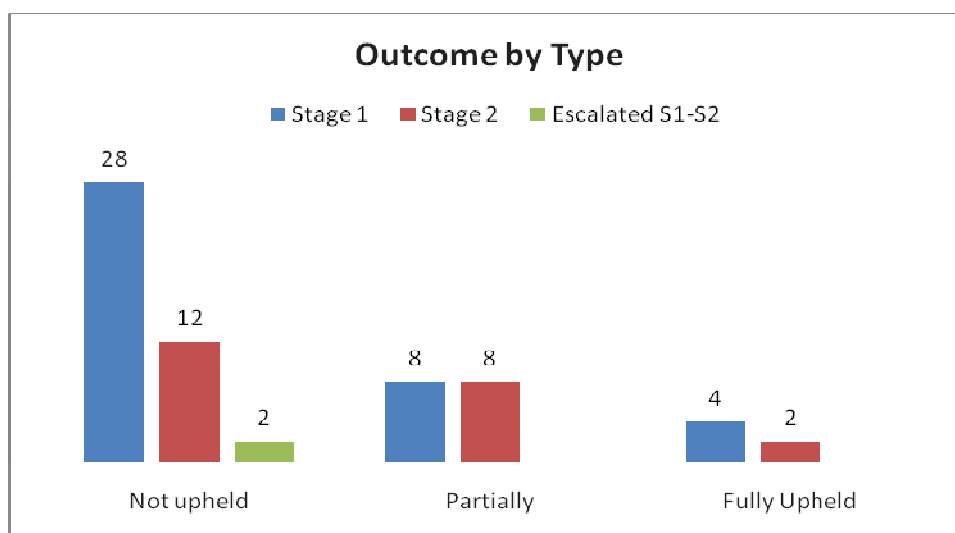
<sup>1</sup> <http://www.gov.scot/Topics/Government/PublicServiceReform/IndependentReviewofReg/ActionGroups/FCSAG>

resolved, requiring little or no investigation and should be resolved within 5 working days (extended to 10 in exceptional circumstances). Stage 2 complaints (previously Formal complaints) are more complex, serious or high risk (or have not been resolved at Stage 1 and escalated to Stage 2). These are fully investigated and we aim to resolve these within 20 working days.

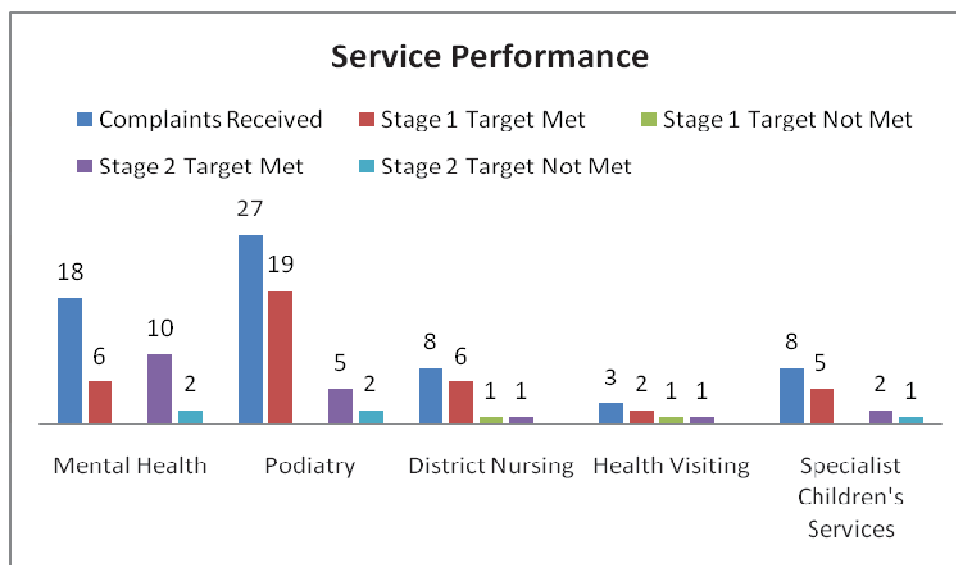
- 5.4. This report provides a commentary and statistics on complaints handling in the HSCP and IJB for the period 1 April – 30 September 2017.

#### Health Complaints

- 5.5. A total of **66** Stage 1 and Stage 2 health complaints were received during the above period of which **2** Stage 2 complaints were withdrawn due to consent not being received.
- 5.6. Of the **64** complaints progressed, **40** Stage 1, **24** Stage 2 (-4 from April – September 2016) including 2 Stage 1 escalated to Stage 2, were responded to, the outcome of which is noted in the table below.
- 5.7. We are unable to provide a comparison figure for Stage 1 complaints as the previous reporting arrangements did not take these into account.
- 5.8. The outcomes of the **24** Stage 2 complaints are as follows:  
Fully Upheld 2 (-4); Partially Upheld 8 (-2); Not Upheld 14 (+3); Outstanding 0 (-1).



- 5.9. The service performance of the **64** Stage 1 and Stage 2 complaints responded to is detailed in the table below.



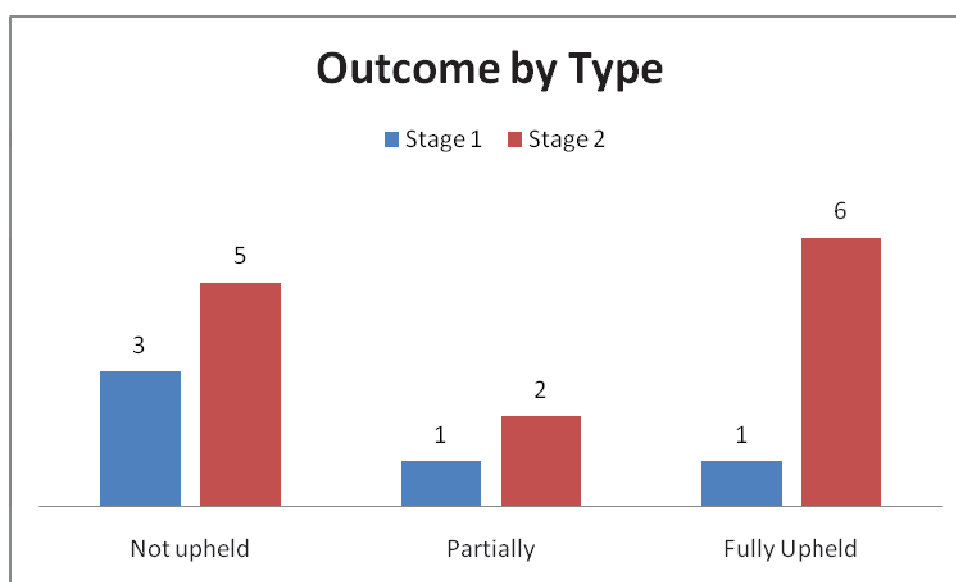
- 5.10. Of the **40** Stage 1 complaints, 38 (95%) met the target for completion and 2 (5%) were outwith the target.
- 5.11. Of the **24** Stage 2 complaints investigated 19 (79%) met the target of responding within 20 working days and 5 (21%) did not meet this target.
- 5.12. As per the Complaint Handling Procedure, holding letters explaining the reasons for the delay were sent out in respect of the 5 Stage 2 complaints which were not completed within 20 days. These complaints were of a complex nature and required additional time to complete.
- 5.13. Issues and themes raised in the 64 health complaints investigated included Treatment, Staff Attitude & Behaviour, Delays/Waiting Times, Procedural Issues, Environment and Cuts to Service.

SPSO 1 April – 30 September 2017

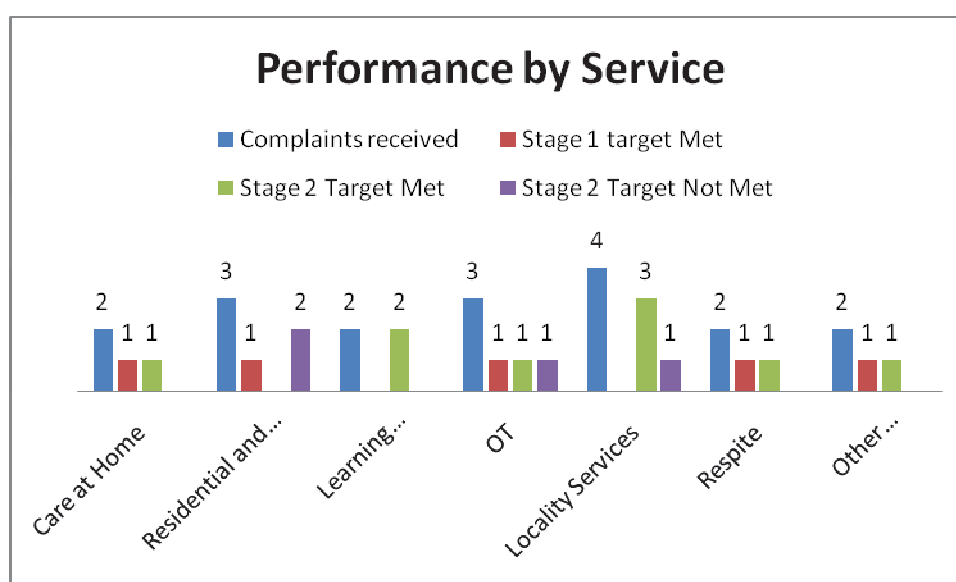
- 5.14. Where a complainant remains dissatisfied with the response to a Stage 2 complaint, they may write to the Scottish Public Services Ombudsman (SPSO). One health visiting complaint investigated by the HSCP during the above period has been referred to the SPSO.

## Social Work Complaints

- 5.15. A total of **18** (+5) Stage 1 and Stage 2 complaints were received during the specified period.
- 5.16. Of the **18** complaints progressed, a total of **5** Stage 1 (early resolution) and **13** Stage 2 (investigation) complaints were received, the outcome of which is noted in the following table.



- 5.17. The service performance of the 18 complaints responded to is detailed in the table below.



- 5.18. The issues and themes identified from social work complaints include change in service, disagreement with proposals, service quality and communication.

- 5.19. We are unable to provide comparison figures for Social Work complaints as, prior to the introduction of the Social Work Model Complaint Handling Procedure in April 2017, the outcome of complaints were not recorded.

#### IJB Complaints

- 5.20. A CHP specifically for the IJB was submitted to the SPSO and was subsequently approved in December 2017. A copy of this is available on the HSCP website<sup>2</sup>.
- 5.21. No complaints were raised in relation to IJB business during the 6 month period April – September 2017.

#### Service Improvements

- 5.22. One of the key themes of the Patient Rights (Scotland) Act 2011 was using complaints as a mechanism to learn lessons and improve services.
- 5.23. Following the completion of complaints, action plans are prepared by Service Managers, where appropriate, and these are reviewed at locality governance meetings. Treatment/Quality of Care, Staff Attitude & Behaviour and Care Packages are key issues within the HSCP for complaints and steps are being taken by services to improve these.

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## **6. Civil Contingencies and Business Continuity**

- 6.1 The Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005 (CCA) and accompanying non-legislative measures came into force on 14 November 2005. The aim of the Act is to deliver a single framework for civil protection in the United Kingdom capable of meeting the challenges of the twenty-first century. The Act is separated into two substantive parts:
- Local Arrangements for Civil Protection (Part 1)
  - Emergency Powers (Part 2)
- 6.2. The Act lists the NHS and Local Authorities as Category 1 responders and, as such, places duties as follows:

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<sup>2</sup> [http://www.renfrewshire.hscp.scot/media/4438/Renfrewshire-IJB-Complaints-Handling-Procedure/pdf/Renfrewshire\\_IJB\\_Complaints\\_Handling\\_Procedure.pdf](http://www.renfrewshire.hscp.scot/media/4438/Renfrewshire-IJB-Complaints-Handling-Procedure/pdf/Renfrewshire_IJB_Complaints_Handling_Procedure.pdf)

- Assess the risk of emergencies occurring and use this to inform contingency planning.
  - Put in place emergency plans.
  - Put in place business continuity management arrangements.
  - Put in place arrangements to make information available to the public about civil protection matters and maintain arrangements to warn, inform and advise the public in the event of an emergency.
- 6.3. Renfrewshire Council and NHS Greater Glasgow & Clyde are supported by their respective Civil Contingencies/Protection Teams in fulfilling the duties placed upon them as Category 1 responders.
- The Civil Protection Steering Committee and the Health & Social Care Resilience Group are the coordinating groups for each organisation. The remit of these groups include:
  - Sharing information across the internal services
  - Co-ordinating the plans and procedures to be adopted across the organisation
  - Identifying training and exercise requirements and delivery method
  - Develop a work plan to deliver the resilience agenda
  - Share best practice and lessons identified.
- 6.4. At strategic levels, the Renfrewshire Health & Social Care Partnership Chief Officer sits on both NHS Greater Glasgow & Clyde's and Renfrewshire Council's Corporate Management Teams.
- 6.5. It is proposed that a Renfrewshire Health & Social Care Partnership Resilience Group is created with appropriate representation from within the Partnership, which will meet quarterly to cover the resilience agenda. A joint Business Continuity Plan has been developed and was tested on 8 February 2017.
- 6.6. In addition to reporting to the Integration Joint Board, this Group will link to the Renfrewshire Civil Contingencies Service and NHS Greater Glasgow & Clyde Civil Contingencies Unit.
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## **7. Insurance & Claims**

- 7.1. The Clinical Negligence & Other Risk Indemnity Scheme (CNORIS) Scotland Regulations 2000 was established with effect from 1 April 2000. Participation in the scheme is mandatory for all NHS Boards in Scotland for delivering patient care. Private contractors, including General Medical Practitioners, are outwith the scheme.



- 7.2. With the introduction of the Public Bodies (Joint Working) (Scotland) Act, from April 2015, the Scheme was broadened to enable Integration Joint Boards to become members.
- 7.3. Renfrewshire IJB has been a Member of CNORIS since 1 April 2015.
- 7.4. CNORIS provides indemnity in relation to Employer's Liability, Public/Product Liability and Professional Indemnity type risks. The Scheme also provides cover in relation to Clinical Negligence.
- 7.5. NHS Greater Glasgow & Clyde and Renfrewshire Council both have procedures in place for handling claims regarding the services they provide.

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### Implications of the Report

1. **Financial** – sound financial governance arrangements are being put in place to support the work of the Partnership
2. **HR & Organisational Development** – there are no HR and OD implications arising from the submission of this paper.
3. **Community Planning** - n/a
4. **Legal** – the governance arrangements support the implementation of the provisions of the Public Bodies (Joint Working) (Scotland) Act 2014.
5. **Property/Assets** – property remains in the ownership of the parent bodies.
6. **Information Technology** – there are no ICT implications arising from the submission of this paper.
7. **Equality & Human Rights** – the recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement have been identified arising from the recommendations contained in the report.
8. **Health & Safety** – health and safety processes and procedures are being reviewed to in order to support safe and effective joint working
9. **Procurement** – there are no procurement implications arising from the submission of this paper.
10. **Privacy Impact** – there are no privacy implications arising from the submission of this paper.
11. **Risk** – none.
12. **Risk Implications** – as per the subject content of the risk section of this paper.

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### List of Background Papers – None.

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## **Renfrewshire Integration Joint Board (IJB)**

### **Model Publication Scheme**

December 2017



## Terms used

	<b>Explanation</b>
<b>FOISA</b>	The Freedom of Information (Scotland) Act 2002
<b>EIRs</b>	The Environmental Information (Scotland) Regulations 2004
<b>Model Publication Scheme</b>	A standard framework for authorities to publish information under FOISA, approved by the Scottish Information Commissioner
<b>MPS</b>	The Model Publication Scheme
<b>Guide to Information</b>	A guide that every public authority adopting the MPS must produce to help people access the information it makes available
<b>MPS Principles</b>	The six key principles with which all information published under the MPS must comply
<b>Classes of information</b>	Nine broad categories describing the types of information authorities must publish (if they hold it)
<b>Notification form</b>	The form an authority must submit to notify the Commissioner of its MPS.



## **Introduction**

The Freedom of Information (Scotland) Act 2002 (the Act) requires Scottish public authorities to adopt and maintain a publication scheme. Authorities are under a legal obligation to:

- (i) publish the classes of information that they make routinely available
- (ii) tell the public how to access the information they publish and whether information is available free of charge or on payment.

Renfrewshire Integration Joint Board (IJB) has adopted the Model Publication Scheme 2015 produced by the Scottish Information Commissioner. The Commissioner has approved this scheme until 31 May 2019. However, the Commissioner requires to be notified if the legal status of the IJB changes.

The Publication Scheme is split into the following six sections:

- availability and formats;
- exempt information;
- copyright and re-use;
- charges;
- contact details; and
- the classes of information

In instances where the IJB does not hold the information requested, we will work with applicants to ensure that they are directed to the correct authority.

## **Availability and formats**

Information published through this scheme is, wherever possible, available on the authority's website. We offer alternative arrangements for people who do not wish to, or who cannot, access the information either online or by inspection at our premises. For example, we can usually arrange to send out information to you in paper copy on request (although there may be a charge for doing so).

## **Exempt information**

If information described by the classes cannot be published and is exempt under Scotland's freedom of information laws (for example sensitive personal data or a trade secret), we may withhold the information or provide a redacted version for publication and will explain why we have done so.

## **Copyright and re-use**

Where the IJB holds copyright in its published information, the information may be copied or reproduced without formal permission, provided that:

- it is copied or reproduced accurately;
- it is not used in a misleading context; and
- the source of the material is identified

Where the IJB does not hold the copyright in the information we publish, we will make this clear.

Access to the information does not mean that copyright has been waived, nor does it give the recipient the right to re-use the information for a commercial purpose. If you intend to re-use information obtained from the scheme, and you are unsure whether you have the right to do so, you are advised to make a request to the IJB (see Contact Details below).

## **Charges**

Unless otherwise specified in the classes of information, all information published through this scheme is available free of charge where it can be downloaded from our website, or where it can be sent to you electronically by email.

We reserve the right to impose charges for providing information in paper copy or on computer disc. Charges will reflect the actual costs of reproduction and postage to the authority as set out below.

In the event that a charge is to be levied, you will be advised of the charge and how it has been calculated. Information will not be provided to you until payment has been received.

Photocopied information will be charged at a standard rate of 11p per A4 side of paper (black and white copy).

Postage costs will be charged at the rate paid to send the information to you.

This charging schedule does not apply to our commercial publications (see Class 8 below) where pricing may be based on market value.

## **Contact details**

You can contact us for assistance with any aspect of this scheme, Guide to Information and to ask for copies of the authority's published information.

Renfrewshire Health and Social Care Partnership  
Third Floor  
Renfrewshire House  
Cotton Street  
Paisley  
PA1 1AL

Our e-mail address is: [Renfrewshire.HSCP@ggc.scot.nhs.uk](mailto:Renfrewshire.HSCP@ggc.scot.nhs.uk)

Telephone: 0141 618 7629

We will also provide reasonable advice and assistance to anyone who wants to request information which is not published.

## **Duration**

Once published, the information will be available for at least the current and previous two financial years. Where information has been updated or superseded, only the current version might be available but previous versions may be requested from the authority.



## The Classes of Information

### Class 1: About the IJB

**Class description:** Information about the IJB, who we are, where to find us, how to contact us, how we are managed and our external relations.

Background on health and social care integration and the IJB can be found here:

[http://www.renfrewshire.hscp.scot/media/4554/Renfrewshire-Integration-Scheme/pdf/Renfrewshire\\_Integration\\_Scheme.pdf](http://www.renfrewshire.hscp.scot/media/4554/Renfrewshire-Integration-Scheme/pdf/Renfrewshire_Integration_Scheme.pdf)

If you have any enquiries about health and social care integration, please contact us at:

Our Website <http://www.renfrewshire.hscp.scot/>

e-mail [Renfrewshire.HSCP@ggc.scot.nhs.uk](mailto:Renfrewshire.HSCP@ggc.scot.nhs.uk)

By telephone: 0141 618 7629

Our postal address is:

Renfrewshire Health and Social Care Partnership  
Third Floor  
Renfrewshire House  
Cotton Street  
Paisley PA1 1AL

Our management structure can be found here:

[http://www.renfrewshire.hscp.scot/media/4689/Renfrewshire-HSCP-Organisational-Chart---SMT-2017/pdf/Renfrewshire\\_HSCP\\_Organisational\\_Chart\\_-\\_SMT\\_2017.pdf](http://www.renfrewshire.hscp.scot/media/4689/Renfrewshire-HSCP-Organisational-Chart---SMT-2017/pdf/Renfrewshire_HSCP_Organisational_Chart_-_SMT_2017.pdf)

### Class 2: How we deliver our functions and services

**Class description:** Information about our work, our strategies and policies for delivering functions and services and information for our service users

The Strategic Plan will set out what the IJB wants to achieve and detail how we will do it. It will set out the actions needed to improve health and social care services to meet changing local demands and will be firmly based on evidence and developed by engaging with local stakeholders, including staff, to ensure services are designed around the people who use them and their communities.

The Strategic Plan must be approved by the IJB before the council and health board are able to delegate functions. This must happen before 1 April 2016. When the strategic plan has been approved it will be published here:

[http://www.renfrewshire.hscp.scot/media/4162/Draft-Strategic-Plan-201619/pdf/Strategic\\_Plan\\_2016-19.pdf](http://www.renfrewshire.hscp.scot/media/4162/Draft-Strategic-Plan-201619/pdf/Strategic_Plan_2016-19.pdf)

The IJB's programme of work is published here:

[http://renfrewshire.cmis.uk.com/renfrewshire/Decisions/tabid/67/ctl/ViewCMIS\\_DecisionDetails/mid/391/Id/ed6aec39-141c-4aaa-ad90-59ed20b8219b/Default.aspx](http://renfrewshire.cmis.uk.com/renfrewshire/Decisions/tabid/67/ctl/ViewCMIS_DecisionDetails/mid/391/Id/ed6aec39-141c-4aaa-ad90-59ed20b8219b/Default.aspx)

What we want to achieve with integration is published here:  
[http://www.renfrewshire.hscp.scot/media/4162/Draft-Strategic-Plan-201619/pdf/Strategic\\_Plan\\_2016-19.pdf](http://www.renfrewshire.hscp.scot/media/4162/Draft-Strategic-Plan-201619/pdf/Strategic_Plan_2016-19.pdf)

### **Class 3: How we take decisions and what we have decided**

Class description: Information about the decisions we take, how we make decisions and how we involve others

Our decisions, including the minutes and reports of the Board Meetings and sub-committees, will be published here:  
<http://renfrewshire.cmis.uk.com/renfrewshire/JointBoardsandOtherForums/RenfrewshireHealthSocialCareIntegrati.aspx>

### **Class 4: What we spend and how we spend it**

Class description: Information about our strategy for, and management of, financial resources (in sufficient detail to explain how we plan to spend public money and what has actually been spent)

Details of our spending will be place on our WebPages here:  
<http://renfrewshire.cmis.uk.com/renfrewshire/JointBoardsandOtherForums/RenfrewshireHealthSocialCareIntegrati.aspx>

### **Class 5: How we manage our human, physical and information resources**

Class description: Information about how we manage the human, physical and information resources of the authority.

The services commissioned by the IJB will be delivered by Renfrewshire Council and NHS Greater Glasgow and Clyde Board. Therefore the IJB does not contain any information within this class but information can be found through each organisation's respective publication scheme.

Renfrewshire Council Publication Scheme:  
<http://www.renfrewshire.gov.uk/media/919/Publication-Scheme/pdf/RenfrewshireCouncilPublicationScheme.pdf>

NHS Greater Glasgow & Clyde Board Publication Scheme:  
<http://www.nhsggc.org.uk/about-us/freedom-of-information-foi/publication-scheme-and-guide-to-information/>

### **Class 6: How we procure goods and services from external providers**

Class description: Information about how we procure goods and services and our contracts with external providers

The services commissioned by the IJB will be delivered by Renfrewshire Council and NHS Greater Glasgow and Clyde Board. Therefore the IJB does not contain any information within this class but information can be found through each organisation's respective publication

scheme.

Renfrewshire Council Publication Scheme:

<http://www.renfrewshire.gov.uk/media/919/Publication-Scheme/pdf/RenfrewshireCouncilPublicationScheme.pdf>

NHS Greater Glasgow & Clyde Board Publication Scheme:

<http://www.nhsggc.org.uk/about-us/freedom-of-information-foi/publication-scheme-and-guide-to-information/>

### **Class 7: How we are performing**

Class description: Information about how we perform as an organisation and how well we deliver our functions and services

The IJB publishes performance information through reports to Board, which can be found here:

<http://renfrewshire.cmis.uk.com/renfrewshire/JointBoardsandOtherForums/RenfrewshireHealthSocialCareIntegrati.aspx>

### **Class 8: Our commercial publications**

Class description: Information packaged and made available for sale on a commercial basis and sold at market value through a retail outlet e.g., bookshop, museum or research journal.

The IJB does not create information within this class.