
To: Renfrewshire Integration Joint Board

On: 18 March 2016

Report by: Chief Officer

Heading: Integration of Health and Social Care Services in Renfrewshire – programme update report

1. Summary

- 1.1. During 2015/16, members have received regular update reports on the structured programme of work being undertaken to ensure the new Integration Joint Board (IJB) is appropriately organised and mobilised to assume responsibility for delivering health and adult social care services across Renfrewshire from 1 April 2016.
- 1.2. This report and attached appendix provides members with an update on the progress being made to ensure that all the necessary processes, policies and plans will be in place as required to allow local implementation of integrated health and social care services in terms of the Public Bodies (Joint Working) (Scotland) Act 2014.
- 1.3. Whilst overall good progress is being achieved, this report highlights that the supporting 2016/17 delegated budget to deliver the IJB's Strategic Plan and supporting services from 1 April 2016 has not yet been agreed. The 2016/17 budget setting process for delegated health functions has not yet been approved by NHS GGC, and it is possible that the IJB's 2016/17 delegated budget will not be finalised by 1 April 2016. The Chief Finance Officer's Due Diligence Update, will set out the risks which this delay creates for the IJB in its preparations for the 1st April 2016 and provide advice to the IJB moving into 2016/17 without this financial clarity.
- 1.4. This report also updates the IJB on an advice note issued from the Standards Commission for Scotland on the requirement for all devolved public bodies, which includes IJBs, to appoint a Standards Officer, and asks the IJB to approve the appointment of the Council's Head of Corporate Governance to this role.

2. Recommendation

Integration Joint Board members are asked to:

- Note the progress being achieved to ensure all the necessary arrangements will be in place to allow local implementation of integrated health and adult social care services in terms of the Public Bodies (Joint Working) (Scotland) Act.
- Note the position regarding the IJB's delegated budget.
- Approve that the Council's Head of Corporate Governance will fulfil the role of the Standards Officer for the IJB; noting that this appointment will be subject to the approval of the Standards Commission.

3. Background

3.1. The Public Bodies (Joint Working)(Scotland) Act 2014, supporting statutory and non statutory guidance, and Renfrewshire's Integration Scheme set out a number of provisions relating to good governance, proportionate to the breadth and scale of the legislative changes both operationally and financially.

3.2. During 2015/16 a structured programme of work has been undertaken to ensure the new Integration Joint Board (IJB) is appropriately organised and mobilised to assume responsibility for delivering health and adult social care services across Renfrewshire from 1 April 2016.

4. 2015/16 Work Programme

4.1. Appendix 1 to this paper provides an overview of the legal and governance commitments across all the areas of work, planned activity to meet these commitments, and the anticipated dates for completion and reporting to the IJB and/or parent bodies.

4.2. In line with the plan set out in Appendix 1, the following are submitted for IJB consideration and approval at this meeting:

4.2.1. Communication and Engagement

- Participation, Engagement and Communication Implementation 2016/17 Plan

4.2.2. Strategic Plan

- A further draft of the Strategic Plan, taking account of the feedback from the formal consultation process

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- IJB Equalities Update

4.2.3. Performance Management

- Performance Management Framework Update

4.2.4. Workforce

- Workforce Plan and Organisational Development Strategy

4.2.5. Clinical and Care Governance

- Quality, Care and Professional Governance Framework – Implementation Update

4.2.6. Finance and Audit

- 2015/16 Financial Position
- Reserves Strategy
- Chief Finance Officer's Due Diligence Update
- Audit Committee Membership Report
- 2016/17 Internal Audit Plan

5. Financial Plan/budget for 2016/17

- 5.1. The 2016/17 delegated budget to deliver the IJB's Strategic Plan and supporting services from 1 April 2016 has not yet been agreed. The Council's budget setting process and adult social care budget to be delegated was agreed on 3 March 2016. The 2016/17 budget for delegated health functions has not yet been approved by NHS GGC. The IJB's delegated budget will not be finalised by 1 April 2016.
- 5.2. The Chief Finance Officer's Due Diligence Update sets out the risks which this delay creates for the IJB in its preparations for the 1st April 2016 and provides advice to the IJB moving into 2016/17 without this financial clarity.

6. Standards Officer

- 6.1. Regulations from 2003 require that every devolved public body has a Standards Officer. The Standards Officer role can be a separate post but can also be part of the remit of another post.
- 6.2. The Standards Commission for Scotland has issued an advice note on the Role of a Standards Officer of devolved public bodies, which includes IJBs. The advice note, provided in Appendix 2, outlines the role and responsibilities of the Standards Officer.

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- 6.3. Based on duties this Officer may be expected to discharge, it is recommended that the IJB appoints the Council's Head of Corporate Governance to this role.

7. 2015/16 Programme Closure Report

- 7.1 A final 2015/16 Programme update report is planned for the next IJB on 24 June 2016 confirming:

- The delegation of the prescribed health and adult social care functions, and associated budgets, from NHS GCC and Renfrewshire Council to the IJB from 1 April 2016;
- All legislative requirements and commitments set out in the Integration Scheme required to allow local implementation of integrated health and adult social care services are in place, including an update on progress with the Strategic Plan;
- The formal closure of the 2015/16 work programme;
- Arrangements for any programme activities scheduled for delivery post June 2016 to be carried forward into the 2016/17 work programme; and
- An overview of the proposed work programme for 2016/17, in line with the priorities set out in the Strategic and Financial Plans.

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** – Clinical and Care Governance arrangements are being put in place
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** – An agreed information sharing protocol and supporting agreements are being developed for the Partnership
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. If required following implementation, the actual

impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

8. **Health & Safety** – health and safety processes and procedures are being reviewed to in order to support safe and effective joint working
9. **Procurement** – procurement activity will remain within the operational arrangements of the parent bodies.
10. **Risk** – None.
11. **Privacy Impact** – n/a.

List of Background Papers – none

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Appendix 1: Legal requirements and commitments

The tables below detail Renfrewshire's legal requirements and commitments in relation to Health and Social Care Integration as set out in the Public Bodies (Joint Working) (Scotland) Act 2014 Act and its Integration Scheme.













Requirement / commitment source:	Key
Act & supporting Regulations	Act
Renfrewshire Integration Scheme	IS
Scottish Government guidance	SG
Established governance arrangements for parent bodies	Gov

1. Governance (non-financial) arrangements				
Legal requirement /commitment	Type	Legal deadline	Target / actual date	RAG
Integration Scheme approved, published and Integration Joint Board (IJB) legally established	Act	27/06/15	-	
The 1 st meeting of the legally constituted IJB	Act	-	18/09/15	
Ratify the remit and constitution of the IJB including its voting and non members, chair and vice chair.	Act	-	18/09/15	
The Procedural Standing Orders of the IJB agreed	Act	-	18/09/15	
IJB ratify the appointment of the Chief Officer, Chief Finance Officer and establish the Strategic Planning Group (including governance arrangements and Terms of Reference)	Act	-	18/09/15	
Risk policy, strategy, procedures and list of key strategic risks approved by IJB	IS	27/09/15	18/09/15	
Arrangements for Hosted Services agreed amongst the IJBs in the GG&C area.	IS	31/03/16	15/01/16	
Health and Safety policy and procedures in place	IS	31/03/16	15/01/16	
Complaints policy and procedures in place	IS	31/03/16	15/01/16	
Fol policy and procedures in place and Publications Scheme in place	Act	31/03/16	15/01/16	
Business continuity arrangements in place	IS	31/03/16	15/01/16	
Parent organisations agree the provision of support services for the IJB	IS	31/03/16	15/01/16	
CO confirms all governance arrangements in place (IJB Report) for functions to be delegated from parent organisations to the IJB	IS	31/03/16	18/03/16	
Functions delegated to IJB	Act	01/04/16	01/04/16	

Key:		Complete		On target		Risk of delay		Significant Issues
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2. Communication and engagement				
Legal requirement /commitment	Type	Legal deadline	Target / actual date	RAG
IJB agrees its participation and engagement strategy	IS	27/12/15	20/11/15	

3. Strategic Plan (the order of Strategic Plan activities are prescribed in the Act but not specific individual deadlines for each stage)

Legal requirement /commitment	Type	Legal deadline	Target / actual date	RAG
IJB agree its proposals for the Strategic Plan	Act	-	18/09/15	
SPG feedback on the proposals for the Strategic Plan content	Act	-	23/09/15	
IJB agree its first draft of Strategic Plan, taking account of SPG feedback	Act	-	20/11/15	
SPG feedback on the first draft of the Strategic Plan content	Act	-	27/11/15	
IJB agree its second draft of Strategic Plan, taking account of SPG feedback	Act	-	15/01/16	
Formal consultation with prescribed stakeholders including SPG, Health Board and Council (commences 18/01/16)	Act	-	07/02/16	
NHS GGC agree its response to the draft Plan **	Gov	Not legal req't	17/02/16	
Leadership Board agree the Council's response to the draft Plan **	Gov		17/02/16	
Update report on consultation and final draft of Strategic Plan prepared for the IJB	Act	-	24/02/16	
IJB approve its final version of the Strategic Plan	Act	-	TBC	
Equalities scheme and EQIAs completed for Partnership (previously reported under Governance)	IS	31/03/16	18/03/16	
Strategic Plan published along with financial statement and statement of action taken by IJB under section 33 (consultation and development of the Strategic Plan).	Act	-	TBC	

** **Please note:** this commitment has changed; parent organisations had previously planned to update their Boards on the final draft version of the Strategic Plan (this is not a legal requirement)

4. Performance Management

Legal requirement /commitment	Type	Legal deadline	Target / actual date	RAG
Parties prepare a list of targets and measures in relation to delegated and non delegated functions	IS	27/06/15	27/06/15	
Council and Health Board develop proposals on targets and measures for 2015/16 'interim' performance framework to be submitted to an early meeting of the IJB	IS	-	18/09/15	
IJB agree its reporting arrangements and supporting	IS	-	18/09/15	

plan to develop 2016/17 performance framework with the Council and Health Board				
IJB agree 2016/17 performance framework, taking account of localities, reporting arrangements and plans to publish the annual performance report 25/02/16	IS	27/06/16	17/06/16	✔

5. Delivering for Localities

Legal requirement /commitment	Type	Legal deadline	Target / actual date	RAG
IJB agree locality arrangements (in line with SG guidance), based on stakeholder engagement, which will be reflected in the Strategic Plan	IS	-	20/11/15	✘

6. Workforce

Legal requirement /commitment	Type	Legal deadline	Target / actual date	RAG
Parent organisations formal structures established to link the Health Board's area partnership forum and the Council's joint consultative forum with any joint staff forum established by the IJB.	IS	31/03/16	18/03/16	✔
Workforce plans and agreed management / governance structures approved by Health Board	IS	31/03/16	29/03/16	✔
Workforce plans and agreed management / governance structures approved by Council	IS	31/03/16	29/03/16	✔
Chief Officer implements Workforce governance arrangements between the IJB and parent organisations (this is captured within parent organisation joint Workforce Plan)	IS	31/03/16	31/03/16	✔
IJB note the approved Workforce plans and agree management / governance structures	Gov	Not legal req't	17/06/16	✔

7. Clinical and Care Governance

Legal requirement /commitment	Type	Legal deadline	Target / actual date	RAG
IJB approve draft Quality, Care & Professional Governance Framework and implementation plan, including approach to working with parent organisations	Gov	Not legal req't	18/09/15	✘
The Parties and the IJB implement appropriate clinical and care governance arrangements for its duties under the Act.	IS	31/3/16	18/03/16	✔
IJB Quality, Care & Professional Governance Framework in place	IS	31/03/16	18/03/16	✔
Health and Care Governance Group established	IS	31/03/16	18/03/16	✔
Chief Social Work Officer provides annual report to	IS	-	31/10/16	✔

IJB (Section 5.15 of IS) – <i>will be carried into the 2016/17 Programme</i>				
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8. Finance and Audit

Legal requirement /commitment	Type	Legal deadline	Target / actual date	RAG
IJB Audit arrangements agreed	IS	31/03/16	18/09/15	
Insurance arrangements (claims handling) in place	IS	31/03/16	31/12/15	
IJB agree procedure with other relevant integration authorities for any claims relating to Hosted Services		31/03/16	18/03/16	
IJB sign off financial governance arrangements as per the national guidance	IS	31/03/16	20/11/15	
IJB report on due diligence on delegated baseline budgets moving into 2016/17	IS	-	TBC	
Draft proposal for the 2016/17 delegated Budget based on the Strategic Plan approved by IJB	IS	-	n/a	
Draft proposal for the delegated Budget based on the Strategic Plan presented to Council for consideration as part of their respective annual budget setting process	IS	-	31/03/16	
Council confirm final social care budget	IS	-	31/03/16	
Health confirm final health budget	IS	-	TBC	
Financial statement published with the Strategic Plan	Act	-	TBC	
Subject to due diligence, resources for delegated functions transferred to IJB from parent organisations	Act	-	TBC	
IJB issue Directions to the Council and NHS GCC for their respective delegated functions	Act	31/03/16	31/03/16	
Audit Committee established with agreed Terms of Reference (cannot meet until post 1 April 2016 when functions are delegated)	IS	01/04/16	01/04/16	

9. Information Sharing and ICT

Legal requirement /commitment	Type	Legal deadline	Target / actual date	RAG
Information Sharing Protocol ratified by parent organisations	IS	31/03/16	25/02/16	
Information Sharing Protocol shared with IJB	Gov	Not legal req't	15/01/16	
Appropriate Information Governance arrangements are put in place by the Chief Officer	IS	31/03/16	15/01/16	



INTEGRITY IN PUBLIC LIFE

ADVICE ON THE ROLE OF A STANDARDS OFFICER

1. Introduction

- 1.1 The Standards Commission for Scotland (Standards Commission) acknowledges that, unlike the role of a Council's Monitoring Officer, the Standards Officer of a devolved public body has limited responsibilities as specified within The Ethical Standards in Public Life etc. (Scotland) Act 2000 (Register of Interests) Amendment Regulations 2003 (Scottish Statutory Instrument 2003/135). It may be that there is not an individual within a devolved public body who has the specific job title of 'Standards Officer'. This Advice Note is, therefore, aimed at any individual who is either solely or jointly responsible for undertaking the duties and responsibilities outlined below, regardless of whether or not they have the formal title of Standards Officer.
- 1.2 This Advice Note aims to assist Standards Officers by providing an outline of the role and responsibilities, within the ethical standards framework, of a Standards Officer operating within a Schedule 3 devolved public body and the duties they may be expected to discharge. However, it is not intended to be prescriptive as the Standards Commission recognises that governance and staffing arrangements are entirely a matter for each devolved public body to determine.

2. Background

- 2.1 The Standards Commission's functions are provided for by the Ethical Standards in Public Life etc. (Scotland) Act 2000 (the 2000 Act) as amended by the Scottish Parliamentary Commissions and Commissioners etc. Act 2010. The 2000 Act created an ethical standards framework whereby councillors and members of devolved public bodies are required to comply with Codes of Conduct, approved by Scottish Ministers, together with Guidance issued by the Standards Commission.
- 2.2 The role of the Standards Commission is to:
 - Encourage high ethical standards in public life; including the promotion and enforcement of the Codes of Conduct and to issue guidance to councils and devolved public bodies.
 - Adjudicate on alleged breaches of the Codes of Conduct, and where a breach is found, to apply a sanction.

- 2.3 Complaints about potential breaches of the Codes of Conduct are investigated by the Commissioner for Ethical Standards in Public Life in Scotland (CESPLS). Following the investigation, and where the CESPLS determines that a contravention of a Code of Conduct is established, the CESPLS will then submit a Report to the Standards Commission.
- 2.4 The Standards Commission will review the Report and determine whether to:
- direct the CESPLS to carry out further investigations;
 - hold a hearing; or
 - do neither.
- 2.5 If the decision of the Standards Commission is to hold a hearing, this process will be used to determine whether a councillor or member of a devolved public body has contravened either the Councillors' Code or the Members' Code. If the evidence presented to the Standards Commission's Hearing Panel supports, on the balance of probabilities, that a breach of the Code had occurred the Hearing Panel will then determine the level of sanction to be applied in accordance with the 2000 Act.
- 2.6 Individual Codes of Conduct have been created and approved for all devolved public bodies described within Schedule 3 of the 2000 Act. Codes of Conduct currently apply to the following categories of public bodies:
- National Bodies e.g. Scottish Legal Aid Board
 - Regional Bodies e.g. Highlands and Islands Enterprise
 - National Health Service Boards
 - Health & Social Care Integrated Joint Boards
 - Further Education Colleges
 - National Parks
 - Regional Transport Partnerships
 - Community Justice Authorities

There are approximately 1400 Board Members appointed to Devolved Public Bodies.

3. Members of the Devolved Public Body

- 3.1 The Standards Officer is responsible for ensuring that appropriate training is given to Board Members on the Ethical Standards Framework, the Members' Code of Conduct and the guidance issued by the Standards Commission on the Model Code of Conduct. This includes ensuring training is provided on induction and also on a regular basis thereafter.
- 3.2 The Standards Officer should contribute to the promotion and maintenance of high standards of conduct by providing advice and support to members on the interpretation and application of the Code of Conduct.
- 3.3 Under Scottish Statutory Instrument 2003/135, the Standards Officer is responsible for ensuring the body keeps a Register of Interests. The Standards Officer should ensure

the Members' Register of Interests is maintained and that a reminder to update entries on the Register of Interests is issued to Members at least once a year.

- 3.4 The Standards Officer should be responsible for ensuring the Members' Register of Gifts and Hospitality is maintained. The Standards Officer should ensure that a reminder to update entries on the Register of Gifts and Hospitality is issued to Members at least once a year and that Members are aware of the duty to report any change in their circumstances within one month.
- 3.5 The Standards Officer should ensure the body has in place a consistent approach to obtaining and recording declarations of interest at the start of its meetings.
- 3.6 The Standards Officer may have an investigatory role if local resolution is attempted in respect of complaints or concerns made about a Member's conduct.
- 3.7 The Standards Officer should also ensure that officers are aware of / familiar with the requirements of the Member's Code of Conduct.
- 3.8 The Standards Officer may be required report to the Board from time to time on matters relating to the Ethical Standards Framework that may require review. The Standards Officer should report any concerns about compliance with the Code of Conduct to the Chief Executive.
- 3.9 The Standards Officer should provide support to the body's Governance or Standards Committee, if such a committee has been established.

4. The Standards Commission

- 4.1 The Standards Officer will be the principal liaison officer between the body and the Standards Commission and may assist the Standards Commission whenever necessary in connection with any complaints against a Member of the body and in all matters relevant to the Ethical Standards Framework.
- 4.2 The Standards Officer should be the point of contact for the Standards Commission and should advise the Standards Commission if they are leaving their post.
- 4.3 The Standards Officer should try to attend any events arranged by the Standards Commission in order to be kept up to date with all relevant developments in respect of the Ethical Standards Framework and to help keep the Standards Commission abreast of any issues or trends that emerge.
- 4.4 The Standards Officer should familiarise themselves with the content of the Standards Commission's professional briefings and should ensure these are circulated to Members. The Standards Officer should also regularly review the Standards Commission's decisions and advise Members of any relevant learning points that have arisen at recent Hearings.
- 4.5 The Standards Officer should respond to any relevant Standards Commission's consultations including any consultations in respect of proposed revisions to its guidance.

5. The CESPLS

- 5.1 The Standards Officer will be the principal liaison officer between the body and the CESPLS and should assist the CESPLS whenever necessary in connection with the investigation of complaints against a Member of the body. This includes providing information and evidence as requested and making arrangements for interviewing of any officers or other Members if CESPLS requires them as witnesses
- 5.2 If local resolution in respect of complaints or concerns made about a Member's conduct is deemed inappropriate in the circumstances or is unsuccessful, the Standards Officer may be responsible for reporting any alleged breach of the Code of Conduct to the CESPLS.

6. Other Standards Officers

- 6.1 The Standards Officer should try to develop relationships with other Standards Officers to share knowledge, experience and information about best practice and to see whether any joint training sessions for Members can be arranged.