



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 28 April 2016

BY: Chief Officer

SUBJECT: Actions to be delivered by the Partners arising from the Integration Scheme

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1 PURPOSE

- 1.1 This report updates the IJB on the actions to be delivered by the IJB's partners (East Lothian Council and NHS Lothian) as laid out in the IJB's integration scheme and notes the current status of these actions.

2 RECOMMENDATIONS

It is recommended that the Board:

- 2.1 Note the content of this paper
- 2.2 Direct the Chief Officer to write to the partners and ask them to conclude the actions as detailed in appendix 1 of this report.

3 BACKGROUND

- 3.1 The IJB's Integration Scheme laid out a series of actions which were to be undertaken by the partners (East Lothian Council and NHS Lothian) to support and develop the IJB. A report was presented to the IJB at its meeting on 25th February which summarised the actions taken at a relatively high level and recommended that a further, more detailed, report be presented to a later meeting of the IJB.
- 3.2 A detailed review of the Integration Scheme has been undertaken and those sections that require actions from the partners extracted and laid out in the table in Appendix 1. Against each of these paragraphs a note

of the current position and any further actions that require to be taken has been made.

3.3 There have been three main routes through which this work undertaken to date has been moved forward:-

- NHS Lothian set up Integration Group, chaired by the director of Strategic Planning which had representatives from each of the IJBs and the Councils. This Group produced and completed a workplan which is attached as Appendix 2. This group has now been wound up.
- NHS Lothian has also set up an Acute/IJB Interface Group. This Group consists of the Lothian IJB Chief Officers and representatives from NSH Lothian. This group is to support the delivery of the IJB's directions and will also act as a focal point to discuss issues that affect all of the IJBs. There is consideration about creating a more operational group to deal with the detail of the development of pan-Lothian services but this is still under consideration.
- Regular meetings have taken place between the IJBs and both the Councils and NHS Lothian.

3.4 The Lothian IJBs (that is East Lothian IJB, Midlothian IJB, West Lothian IJB and Edinburgh IJB) have also set up a group to share IJB issues and agree how to manage service development of pan-Lothian services along with issues common to all the IJBs.

3.5 However, it is clear from this analysis that, although a great deal of work has been done there are a range of further actions that the partners now require to take. In summary these actions are:-

- Finalise the 'governance' issues.
- Set up and finalise the corporate support issues
- Finalise the financial and performance management issues

3.4 Although a formal budget proposition has been made to the IJB by East Lothian Council, NHS Lothian has yet to make such an offer. NHS Lothian has indicated that a formal offer will be made after its financial plan for 2016/17 has been presented to its Board at its next meeting. This will allow much of the 'financial' issues outstanding (section nine in the table below) to begin to be resolved.

4 POLICY IMPLICATIONS

4.1 There are no policy implications arising from this report.

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 Any changes to workforce arrangements will be subject to integrated impact assessments.

6 RESOURCE IMPLICATIONS

- 6.1 There are no resource implications arising from this report.

7 BACKGROUND PAPERS

- 7.1 East Lothian Integration Scheme

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DATE	26 March 2016

Integration Scheme Paragraph	Text	Action Taken
5.1.3	The Parties will provide performance information so that the IJB can develop a comprehensive performance management system.	A group with representatives from all the IJBs has been set up to drive this forward. The IJB's directions include further, more detailed requirements. This group meets on a monthly basis. The Chief Officer has met with officers from East Lothian Council and NHS Lothian to ensure the IJB performance information requests will be acted upon.
5.1.6	Each of the Parties shall use reasonable endeavours to procure that in the event that one of its committees identifies an issue which is of direct and material relevance to the Integration Joint Board, the chair of that committee will advise the Chair of the Integration Joint Board and the Chief Officer of that matter and will co-operate with the IJB in supplying such further information and evidence in respect of that matter as the IJB may reasonably request.	This is being done on an informal basis.
5.1.7	The Parties shall ensure that their respective standing orders, schemes of delegation and other governance documents are amended (if required) to reflect the IJB's powers and remit, and its place as a common decision-making body within the framework for delivery of health and social care within the East Lothian Area.	Work is underway within NHS Lothian as follows :- SFI's – reviewed and agreed by Board Strategic Planning Committee – reviewing remit and membership. Finance and Resources Committee – reviewing remit and membership Healthcare Governance Committee – reviewing remit and membership Lothian's Scheme of delegation has been sent to the CLO for advice. This work is still required in the Council.
5.1.10	This Scheme sets out detailed measures on the governance of integration functions throughout the text. Over and above these measures, the Parties will ensure that the IJB members are involved in overseeing the carrying out of integration functions	An Integration group was set up to drive through a range of matters – the final position of this group is attached as appendix 2. See 5.1.7 above.

	<p>through the following actions:</p> <ul style="list-style-type: none"> a) The terms of reference, membership and reporting arrangements of the relevant committees of the Parties will be reviewed and the IJB will be consulted within this process (and all future reviews); and b) In order to develop a sustainable long term solution for the oversight of the integration functions by the IJB, a working party will be convened, with membership from the Lothian IJBs and the Parties. This working party will develop recommendations for approval by the Lothian IJBs. 	
5.1.12	<p>In addition to the specific commitments set out above and the obligations regarding provision of information attaching to the Parties under the Act, each of the Parties will provide the Integration Joint Board with any information which the Integration Joint Board may require from time to time to support its responsibilities regarding strategic planning, performance management, and public accountability.</p>	Being done
5.2.1	<p>The Parties will support the Integration Joint Board in ensuring that the consultation process associated with the preparation of each Strategic Plan for the East Lothian Area includes other Integration Authorities likely to be affected by the Strategic Plan. The Integration Authorities that are most likely to be affected by the Strategic Plan for the East Lothian Area are:</p> <ul style="list-style-type: none"> (a) Midlothian Integration Joint Board (b) Edinburgh Integration Joint Board (c) West Lothian Integration Joint Board 	NHS Lothian has supported the creation of the IJB's Strategic Plan and there has been collaborative work between the IJBs in the Lothian area
5.2.4	<p>The Parties will to ensure that the Integration Joint Board can:</p> <ul style="list-style-type: none"> (a) effectively engage in all of the planning process and support the Neighbouring IJBs in discharging their role including contributing to the work of the strategic planning groups for the Neighbouring IJBs as required; (b) provide such information and analysis as Neighbouring IJBs 	See 5.2.1

	<p>reasonably require for the production of their Strategic Plans;</p> <p>(c) inform Neighbouring IJBs as to how the services, facilities and resources associated with the functions delegated to the Integration Joint Board by the Parties are being or are intended to be used with respect to carrying out of those functions in line with these planning processes;</p> <p>(d) in a situation where Strategic Plans in one area are likely to have an impact on the plans in another area, ensure that these matters are raised with other relevant integration joint boards and resolved in an appropriate manner;</p> <p>(e) in a situation where Strategic Plans in another area are likely to have an impact on the East Lothian Area, ensure that these matters are raised and any associated risks are mitigated for the benefit of service users.</p>	
5.2.5	<p>In addition, a template will be introduced for the Integration Joint Board, with the support of each of the Parties, to help to ensure that all major strategic matters are considered in light of the potential impact on Neighbouring IJBs, and on services provided by the Parties which are not delivered in the course of carrying out functions delegated to the Integration Joint Board.</p>	<p>Directions having been issued by the Lothian IJBs, the NHS planning team is supporting the co-ordination of the delivery of those directions which impact on pan-Lothian service.</p>
5.3.1 & 5.3.2 & 5.3.4 & 5.3.5	<p>NHS Lothian will develop a plan (the 'Lothian Hospitals Strategic Plan') to support the IJBs to fulfil their duties. The Lothian Hospitals Strategic Plan will not bind the IJB and the strategic plans of the Lothian IJBs will inform the Lothian Hospital Strategic Plan. The Lothian Hospitals Strategic Plan will encompass both functions delegated to the Lothian IJBs and functions that are not so delegated.</p> <p>The Lothian Hospitals Strategic Plan will be developed in partnership with the Lothian IJBs where integration functions are delivered by NHS Lothian in a hospital. It will reflect the relevant provisions of the Strategic Plans prepared by the respective Lothian IJBs, as well as NHS Lothian plans for non delegated functions. The first Lothian Hospitals Strategic Plan will be published by 1 December 2015.</p>	<p>An outline has been prepared and presentations made to the Acute Hospitals committee and the Strategic Planning Committee. Dialogue continues between the Acute system and the IJBs – which will include a discussion about how the directions will be implemented – and this will lead to a draft hospitals plan to be published for consultation in December 2016.</p>

	<p>The purpose of the Lothian Hospital Strategic Plan is to ensure that planning for hospital functions and use of hospital facilities are:</p> <p>(a) responsive to and supports each Strategic Plan prepared by the Lothian IJBs for delegated functions; and</p> <p>(b) supports the requirement of NHS Lothian to deliver hospital services required by the IJB and other hospital services that are not the responsibility of the Lothian IJBs (e.g. tertiary, trauma, surgical, planned and children’s services).</p> <p>The Lothian Hospitals Strategic Plan will be a plan developed jointly by NHS Lothian and the Lothian IJBs. The elements of the Lothian Hospitals Strategic Plan addressing non delegated functions can only be agreed by the NHS Lothian Board after the four Lothian IJBs have been consulted and their views and requirements appropriately considered. Elements of the Lothian Hospitals Strategic Plan which cover functions delegated to the respective Lothian IJBs will be signed off by relevant Lothian IJBs in consultation with NHS Lothian and all Lothian IJBs.</p> <p>The Lothian Hospitals Strategic Plan will be updated at least every three years; the process to update the plan will be led by NHS Lothian.</p>	
5.4.1	<p>The Parties agree to provide the IJB with the corporate support services that it requires to discharge fully its duties under the Act.</p>	<p>The following appointments have been made:</p> <p>Chief Officer</p> <p>Chief Finance Officer;</p> <p>Chief Internal Auditor;</p> <p>Professional Advisors on the IJB -</p> <ul style="list-style-type: none"> • Chief Nurse • Medical Advisor (Consultant)

		<ul style="list-style-type: none"> • Medical Advisor (GP) • Chief Social Work Officer <p>East Lothian Council are providing secretariat support to the IJB;</p> <p>Both NHS Lothian and East Lothian Council have continued their support in the development of the IJB and officers have been available to aid the implementation of the IJB including providing advice on finance arrangements, governance and professional support. This will be reviewed in the early part of the next financial year.</p> <p>NHS Lothian planning staff have been transferred to the Partnerships to support the IJB's planning work.</p>
5.4.3	<p>In order to develop a sustainable long term solution, a working party will be convened, with membership from NHS Lothian and the four local authorities in Lothian. This working party will develop recommendations for approval by NHS Lothian, the four local authorities, and the Lothian IJBs by 30 June 2015.</p>	<p>See below. However, this group did not make a formal report and recommendations. See Appendix 2.</p>
5.4.5 & 5.4.6	<p>As soon as the proposals have been finalised by the working party and agreed by NHS Lothian and the four local authorities which prepared the integration schemes for the Lothian IJBs, a draft agreement will be prepared reflecting the agreed proposals. The draft agreement will be adjusted in line with discussions among the said parties, and, as soon as the terms have been finalised, it is intended that the agreement will then be formally executed by NHS Lothian, the four local authorities, and the Lothian IJBs (including the IJB).</p> <p>Within a year of the agreement taking effect, the Parties and the IJB will undertake a review of the support services put in place pursuant to the agreement to ensure that the IJB has available to it</p>	<p>A pan-Lothian group was set up 'Integration Plan meeting' chaired by the NHSiL Director of Strategic Planning with representatives from all the Lothian IJBs. This group created a workplan which is attached as appendix 2.</p>

	<p>all necessary professional, technical or administrative services for the purpose of preparing its Strategic Plan and carrying out the integration functions. There will then follow a process of annual review on the support services required by the IJB and this process will form part of the annual budget setting process for the IJB which is described in Section 9.2.</p>	
5.5.3	<p>A set of shared principles will be developed and agreed between the Parties for targets and measurement based on existing best practice.</p>	See 5.1.3
5.5.4 & 5.5.5 & 5.5.6	<p>A core group of senior managers and relevant support staff from each Party will develop the performance framework for the IJB, taking account of relevant national guidance. The framework will be underpinned by the Outcomes and will be developed to drive change and improve effectiveness. The framework will be informed by an assessment of current performance arrangements and the development of a set of objectives which the framework will be intended to achieve.</p> <p>A core set of indicators and measures will be identified by the Parties from publicly accountable and national indicators and targets which relate to services delivered in carrying out of the functions delegated to the IJB.</p> <p>An integration dataset (the 'Integrations Dataset') will be created for the Integration Joint Board. This will include information on the data gathering, reporting requirements and accountability for each of these measures and targets and including, in relation to each target, the extent to which responsibility is to transfer to the IJB. This work will be shared with and reviewed by the Integration Joint Board and amended as appropriate following such review.</p>	See 5.1.3
5.5.10 & 5.5.11	<p>The Integration Dataset will include information on functions which are not delegated to the Integration Board. Either one of the Parties, or the Integration Joint Board, will be able to reasonably require information of that nature to be included within the Integration Dataset.</p> <p>The principles for an Integration Dataset will be prepared by the</p>	<p>This has not yet been done but see 5.1.3</p>

	Parties by 1 April 2015 and this will be reviewed and developed into the Integration Dataset during the strategic planning process in 2015. A final Integration Dataset will be submitted for approval by the Integration Joint Board and the Parties before 1 March 2016.	
6.1.6	The Parties agree that in the event that one of its committees within its governance arrangements identifies an issue which is of direct and material relevance to the Integration Joint Board, the chair of that committee will advise the chairperson of the Integration Joint Board and the Chief Officer of that matter and will co-operate with the IJB in supplying such further information and evidence in respect of that matter as the IJB may reasonably request.	See 5.1.6
6.1.7	The Parties shall ensure that its standing orders, schemes of delegation and other governance documents are amended (if required) to reflect the IJB's powers and remit, the IJB's place as a common decision-making body within the framework for delivery of health and social care within the East Lothian Area and the Parties role in supporting the IJB to discharge its duties.	See 5.1.7
6.3.3	<p>The membership of the IJB will not be the only source of professional advice available to the IJB. In advance of the establishment of the IJB the Parties agree that the chairs of all appropriate committees and groups will be informed that they are able to, and expected to, directly provide advice to the IJB. Those committees and groups may also advise an integrated professional group that provides advice to the IJB. Those committees and groups include, but are not limited to:</p> <ul style="list-style-type: none"> (a) Area Clinical Forum; (b) Local consultative committees that have been established under Section 9 of the National Health Service (Scotland) Act 1978; (c) Managed Clinical/ Care Networks; (d) East and Mid Lothian Public Protection Committee (adult and child protection, drug and alcohol, violence against women, offender management etc). The IJB will consult this committee on any plans that may impact on the protection of children or vulnerable adults or people who are assessed as 	See 5.1.6

	<p>posing a risk; Any integrated professional group established.</p>	
6.4.3	The IJB will consequently be informed of any relevant issues from external scrutiny, as a consequence of drawing from the systems already established by the Parties.	See 5.1.6
8.2	The Parties have developed a Human Resources and Organisational Development plan which supports the workforce through the integration process. This is a comprehensive plan which covers staff communication, staff engagement, staff and team development, leadership development and the training needs for staff that will be responsible for managing integrated teams. This plan will be reviewed annually to ensure that it takes account of the Strategic Plan of the IJB and the development needs of staff within the IJB.	"The HR/OD Plan" was produced during the shadow period of the IJB and was recently reviewed.
8.3	The Human Resources and Organisational Development plan for 2014 / 2015 has been agreed by the Parties, and is being implemented, and will be reviewed in April 2015 and annually thereafter.	See 8.2 above
9.1.11	The Council will host the Integrated Joint Board Financial Accounts and will be responsible for recording the Integrated Joint Board financial transactions through its existing financial systems.	Agreed but not yet actioned
9.1.15	The Chief Finance Officer will be responsible for producing finance reports to the Integration Joint Board, ensuring that those reports are comprehensive. The Council and NHS Lothian will provide the appropriate information to allow the Chief Financial Officer to produce these reports.	Information provided to the CFO by both parties. Work is on-going to agree an appropriate process and timescales
9.1.16	The Chief Finance Officer will liaise closely with the Council's section 95 officer and NHS Lothian's Director of Finance and their teams in order to discharge all aspects of his or her role. Section 6 of this Scheme has set out the process the Parties will undertake to determine how professional, technical and administrative services will be provided to the IJB. The initial focus of this work includes finance support.	Regular meetings between the S95 officer and the DoF take place. Discussions are on-going around appropriate finance support
9.2.3	The Parties will agree annually a schedule of payments (covering their initial calculated payment for the financial year) to the Integration Joint Board in-year. This schedule of payments will be agreed within the first 30 working days of each new financial year.	It has been agreed in 16/17 that the previous schedule of payments (e.g Resources Transfer) will continue. Other payments will be made as

		required
9.2.4	It is expected that the net difference between payments into and out of the Integration Joint Board will result in a balancing payment between the Council and NHS Lothian which reflects the effect of the directions of the IJB. The balancing payment will be reviewed throughout the year and depending on the expected value for the adjusting payment, it will be either made one-off prior to year-end or on a quarterly basis.	Not applicable at this time
9.2.5	The Parties will identify a core baseline operational budget for each function that is delegated to the Integration Joint Board. This will be used as the basis to calculate their respective payments into the IJB Budget.	Completed for ELC but still to be finalised for NHSiL. NHSiL have indicated that a final formal letter of offer will be available after the financial plan has been to the NHS Board in May
9.2.8	In order to identify the core baseline budget for each of the hosted services in each local authority area, NHS Lothian will initially determine which of the following methodologies is the most appropriate in representing the distribution of the delivery of those services in each local authority area and their respective populations at a given point in time. NHS Lothian will follow the same process for subsequent years: <ul style="list-style-type: none"> (a) local activity and cost data for each service within each local authority area; (b) population distribution across the local authority areas; (c) patient level activity and cost data; (d) historically applied and recognised percentages. 	NHS Lothian has developed a model which has been shared with the IJB. The IJB has agreed to use this model subject to further review.
9.2.9	The Council and the IJB will review the proposals from NHS Lothian as part of a due diligence process, and the core baseline budget will be collectively agreed.	This will be part of the final financial assurance process which will take place at the end of the first quarter of the financial year 2016/17.
9.2.12	The Parties recognise that of the functions which are to be delegated to the IJB, there are some where there is greater potential for the actual expenditure to vary significantly from projections. The Parties will identify what those functions are, and will ensure that information is provided to the IJB so that it may build up its working knowledge of the issues, and focus on those functions within their systems for risk management and financial	This continues to be developed.

	<p>reporting. This will help the IJB and the Parties determine how any particular variances (should they arise) should be handled (see section below), as well as how the IJB decides to direct the use of the IJB Budget in the future.</p>	
9.2.15	<p>The Council's Section 95 officer and NHS Lothian's Director of Finance will each prepare a schedule outlining the detail and total value of the proposed payment from each Party, and the underlying methodology and assumptions behind that payment. These draft schedules will identify any amounts included in the payments that are subject to separate legislation or subject to restrictions stipulated by third party funders. The schedules will also contain the detail and total value of set aside resources for hospital services, made under Section 1(3) (d) of the Act.</p>	See 9.2.5.
9.2.20 & 9.2.21	<p>The starting position will be the payments made to the Integration Joint Board in the previous financial year. The Parties will then review the payments, having due regard to any known factors that could affect core baseline budgets, available funding, their existing commitments, the results of their own financial planning processes, the previous year's budgetary performance for the functions delegated to the IJB, the IJB's performance report for the previous year, and the content of the IJB's Strategic Plan.</p> <p>The Parties will also have due regard to the impact of any service re-design activities that have been direct consequence of IJB directions.</p>	This analysis has already been provided to the IJB as part of the initial financial assurance process and will be completed per 9.2.9
9.2.22	<p>In all subsequent financial years, the Integration Joint Board will be established and the Chief Officer and Chief Finance Officer will have been appointed to their posts. The Parties will engage the Integration Joint Board, Chief Officer, and Chief Financial Officer in the process of calculating subsequent payments through:</p> <ul style="list-style-type: none"> • Both Parties will provide indicative three year allocations to the Integration Joint Board, subject to annual approval through their respective budget setting processes. • The Parties will ensure the Chief Officer and Chief Finance Officer are actively engaged in their financial planning 	Yet to be agreed

	<p>processes. The Chief Officer will be expected to feed into the planning processes of the Parties with any intelligence that is relevant, e.g. the aims of the Strategic Plan, the effect of previous directions on activity and expenditure, projected changes in activity and expenditure. NHS Lothian's Director of Finance, the Council's Section 95 Officer and the Chief Finance Officer will ensure a consistency of approach and consistent application of processes in considering budget assumptions and proposals.</p>	
9.3.1 & 9.3.2	<p>Budgetary control and monitoring reports (in such form as the Integration Joint Board may request from time to time) will be provided to the Integration Joint Board by the Parties as and when requested by the IJB. The reports will set out the financial position and outturn forecast against the payments by the Integration Joint Board to the Council and NHS Lothian in respect of the carrying out of integration functions and against the amount set aside by NHS Lothian for hospital services. These reports will present the actual and forecast positions of expenditure compared to Operational Budgets for delegated functions and highlight any financial risks and areas where further action is required to manage budget pressures.</p> <p>NHS Lothian will provide reports to the Integration Joint Board on the set aside budget as above.</p>	<p>Discussions are on-going between the Chief Finance Officer and the staff of the Council and NHS Board in preparation for the first financial reports to the IJB for first quarter 2016/17.</p>
9.3.3	<p>Through the process of reviewing the professional, technical and administrative support to the IJB (see Section 5.4 of the Scheme), and the development of accounting for the set-aside, the Parties will devise a sustainable model to support financial reporting to the new IJB. Until that model is in place, both Parties will provide the required information on operational budgetary performance from their respective finance systems, and this will be co-ordinated and consolidated by the Chief Finance Officer to provide reports to the IJB on all the IJB's integration functions.</p>	<p>Details are being provided and work is underway per 9.3.2 above</p>
9.4.2	<p>The Integration Joint Board is required to deliver it's financial outturn with approved resources. The Parties will make every effort</p>	<p>See above</p>

	to avoid variances arising. A key measure in this regard to will be the due diligence activities, and the sharing of information with the IJB, so that the IJB has the best opportunity to allocate resources effectively. The Parties will also ensure that the systems that are already applied to delivering public services within fixed and limited resources will continue.	
9.4.3	Where financial monitoring reports indicate that an overspend is forecast on NHS Lothian or the Council's operational budget for delegated functions, it is agreed by the Parties that the relevant Party should take immediate and appropriate remedial action to prevent the overspend. The manager leading this remedial action could be the Chief Officer in his or her operational capacity within the affected Party.	Yet to be agreed
9.7.2	An agreement will be developed which specifies and regulates the use (in relation to integration functions) of capital assets belonging to one Party by the other Party, or jointly by both Parties. A similar agreement will specify and regulate the use by the IJB, in the carrying out of its functions, of assets belonging to the Parties. These agreements will be updated as required.	Discussions around the use of capital funds and a methodology for the IJB's influence has yet to be developed.
9.7.4	The Parties will ensure that their capital asset planning arrangements take due cognisance of the above implications and requirements.	See 9.7.2
9.8.7	In all forms of audit, the Parties are expected to comply with related requests and to aid the audit process.	NHS Lothian and East Lothian Internal Audit departments have supported the IJB. ELC have offered their Internal Audit manager as the IJB's CIA.
10.1	The Parties will support the Chief Officer, who will on behalf of the IJB, produce a strategy for engagement with, and participation by members of the public, representative groups or other organisations in relation to the decisions about the carrying out of integration functions as set out in this section 10. The process to identify and provide support to the Chief Officer to develop the IJB's participation and engagement strategy is described in section 5. As part of the process set out in section 5 the Parties will:	This was used for the development and engagement on the Strategic Plan. A formal engagement strategy is now required.

	<p>(a) Make available to the IJB arrangements that are already established for consultation by one or both of the Parties. The IJB will consider a range of ways in which to connect with all stakeholders. The IJB will use existing consultation methods, for example (but not limited to), the East Lothian Hub.</p> <p>(b) Make available service/user participation and engagement teams to the IJB as this relates to function delegated within the Scheme.</p> <p>(c) Make available communication support to allow the IJB to engage and participate.</p>	
11.2	The Pan -Lothian and Borders General Information Sharing Protocol update will be agreed by 31 March 2015.	Been agreed and signed by both parties.
11.3	Procedures for sharing information between the Council, the other local authorities within NHS Lothian area, NHS Lothian, and, where applicable, the Integration Joint Board will be drafted as Information Sharing Agreements and procedure documents. This will be undertaken by a sub group on behalf of the Pan-Lothian Data Sharing Partnership, who will detail the more granular purposes, requirements, procedures and agreements for each of the Lothian Integrated Joint Boards and the functions respectively delegated to them. This will also form the process for amending the Pan Lothian and Borders General Information Sharing Protocol.	See 11.3
11.5	Arrangements for Third party organisations access to records will be jointly agreed by all the Parties and the IJB prior to access.	There are not yet agreements for third party access to IJB records, but there are agreements to third party access to NHS Board and Council records e.g. public protection and inspection processes.
11.9	The information sharing agreements and procedures applicable to the IJB will be agreed by 31 March 2015.	Agreed
12.3	The Council and NHS Lothian will align their complaints processes as far as possible until such time as their respective complaints processes can be fully integrated. Joint working protocols will be adopted so that the process of making a complaint is as simple as possible and complaints about integrated services are responded	Work is underway to identify resources, lead organisations and develop a single protocol. This is being led by NHS Lothian Director of Nursing.

	to clearly, thoroughly and timeously. These joint working protocols will identify the lead organisation for each integrated service and will include the contact details of officers responsible for managing any complaints received.	

PROJECT PLAN TO ESTABLISH AN INTEGRATION JOINT BOARD AND THE ASSOCIATED SYSTEMS AND WORKING PRACTICES

This is a template plan to summarise the key actions to be taken forward to implement the requirements of the integration schemes, the Public Bodies (Joint Working) (Scotland) Act 2014, and the associated regulations and orders.

The purpose of this plan is to communicate the key actions that need to be undertaken by the parties, many of which need to be addressed by the “corporate” functions. The final version of the plan should have clear owners for each action, with a deadline for completion. This template may need to be adapted to reflect the specific requirements for each integration joint board. **As this document does summarise the key actions from the integration schemes, managers should refer to the relevant integration scheme for each local authority to ensure that all of the detailed requirements are being addressed.**

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Section 2: Developing the basic corporate governance arrangements for the IJB

No	Action	Officer	Start Date	End Date	Status
2.1	Confirm which party is providing secretariat support to the IJB. Where will meetings be held, who pulls the papers together and organises the meetings, minutes etc.	Chief Officer designate for each IJB	1 April 2015	31 May 2015	Completed
2.2	IJB Membership Confirm that there is a complete list of nominees for the voting members and the prescribed non-voting members. http://www.legislation.gov.uk/ssi/2014/285/article/3/made	AP, Medical Director, Nurse Director, Director of Public Health & Health Policy	31 Mar 2015	30 June 2015	Completed.
2.3	Role descriptors for the above three health professional non-voting members	AP	01/05/15	31/5/15	Completed.
2.4	IJB Membership Confirm that the proposed members are not disqualified from being members of an IJB by the regulations. http://www.legislation.gov.uk/ssi/2014/285/article/8/made	AP	27 March 15	30 June 15	Completed.
2.5	IJB Standing Orders Draft a set of standing orders for the IJB to review and approve at its first meeting.	AP	Oct 14	15 June 2015	Completed.
2.6	Identification of options for internal audit	Chief internal	25	30 June	Partially complete

Section 2: Developing the basic corporate governance arrangements for the IJB

No	Action	Officer	Start Date	End Date	Status
	<p>for the IJB. An early decision for the IJB will be to appoint a head of internal audit so that person can then take forward the work to establish appropriate IJB internal audit arrangements. This needs to be considered with the work of the NHS and Council internal audit plans.</p>	<p>auditors of NHS Lothian and relevant local authority</p>	<p>Feb 2015</p>	<p>2015</p>	<p>East Lothian - complete. Midlothian - complete West Lothian – finalising arrangements. CEC - Require update</p>
<p>2.7</p>	<p>System to comply with the Ethical Standards Act The Public Bodies (Joint Working) (Scotland) Act 2014 (Consequential Modifications and Savings) Order 2015 has been passed. http://www.legislation.gov.uk/ssi/2015/157/schedule/made The Ethical Standards in Public Life Act 2000 has been amended, and the IJB will be treated as a “devolved public body” under that Act. Accordingly the IJB will be ordered to prepare a members Code of Conduct, and the members will be required to follow it.</p>	<p>AP along with Human Resources/ Organisational Development</p>	<p>15 April 2015</p>	<p>30 June 2015</p>	<p>In progress. All four IJBs have agreed to work to a draft to have something in place, subject to approval by Ministers. A draft Code of Conduct for an IJB was sent to the Scottish Government for comment on 25 June 2015. The Scottish Government has issued an amendment order on 17 December 2015 to correct an anomaly on the declaration of interests. Each IJB will need to identify a Standards Officer, and have that appointment approved by the</p>

Section 2: Developing the basic corporate governance arrangements for the IJB

No	Action	Officer	Start Date	End Date	Status
					<p>Standards Commission.</p> <p>West Lothian IJB has an appointments committee in place to attend to its various appointments.</p> <p>East Lothian has appointed its Chief Officer as Standards Officer (Query: Has the Standards Commission made the appointment?)</p> <p>Action: JMcC (re model code)</p> <p>IJB secretaries to update IJB Standing Orders, and attend to the Standards Officer requirement.</p>
2.8	<p>Parties to review their own governance policies/ arrangements in light of the creation of the IJBs.</p> <p><i>(Commitment within the integration schemes)</i></p>	Governance leads in all organisations	1 July 2015	31 March 2016	<p>In Progress</p> <p>Two main streams of work:</p> <ul style="list-style-type: none"> ✓ Impact on committees (in NHS Lothian and council)

Section 2: Developing the basic corporate governance arrangements for the IJB

No	Action	Officer	Start Date	End Date	Status
	<p>Once the IJBs are delegated functions, there is likely to be an immediate impact on the scheme of delegation, even if it is just to reflect the change in job titles and management structures. There will be an impact on the membership and terms of reference of existing committees.</p>				<p>✓ How we update and harmonise policies and procedures – ideally if we can standardise practice across the whole system, the risk of differing policies by employer would be addressed.</p> <p>NHS Lothian has already revised the terms of reference and membership of its Strategic Planning Group, to include either the chair or vice chair of each IJB in its membership.</p> <p>Alan Payne prepared a paper setting out the impact of integration on the committees of NHS Lothian, and this was shared with the IJBs on 18 May 2015. The committees are working through the issues.</p> <p>The NHS Board reviewed its Standing Financial Instructions on 2 February 2016.</p> <p>AP has an outstanding query with</p>

Section 2: Developing the basic corporate governance arrangements for the IJB

No	Action	Officer	Start Date	End Date	Status
					<p>the Central Legal Office, with respect to whether or not a NHS Board can delegate authority to non-employees.</p> <p>Council colleagues to review their own arrangements locally.</p>
2.9	<p>Set up working party to develop sustainable long term solutions, which gives IJB members oversight of operational activities.</p> <p><i>(Commitment within the integration schemes)</i></p>	SG/ AP	1 July 2015	31 March 2016	<p>A single working party has not been set up, however the development work is progressing through the review of NHS Lothian committees. Each local authority is different and needs to take this forward on their own account with the IJB.</p>
2.10	<p>Set up working party to review professional, administrative and technical support to IJBs.</p> <p><i>(Commitment within the integration schemes)</i></p> <p>“Key matters that the working party will address are:</p> <p>(a) understanding the needs of the</p>	AMcM		30 June 2015	<p>In progress.</p> <p>The group discussed this issue on 14 July, and recognised that work had already been done to identify the business support services that an IJB will require. However it was agreed that there needed to be a stronger discipline introduced to ensure that each stream of work was being owned, and that the</p>

Section 2: Developing the basic corporate governance arrangements for the IJB

No	Action	Officer	Start Date	End Date	Status
	<p>Lothian IJBs (in relation to functions delegated to them), as well as the continuing needs of the Parties (for non-delegated functions);</p> <p>(b) defining what is meant by “professional, technical or administrative services”;</p> <p>(c) systems to appoint the Chief Officer and Chief Finance Officer, as well as addressing their requirements for support;</p> <p>(d) bringing all these elements together and devising a pragmatic and sustainable solution.”</p> <p><i>“This working party will develop recommendations for approval by NHS Lothian, the four local authorities, and the Lothian IJBs by 30 June 2015.”</i></p>				<p>review of professional/ admin/ support/ technical services is proceeding. Action: SH and AP.</p> <p>This needs updated to reflect current status on the various streams.</p>

Section 2: Developing the basic corporate governance arrangements for the IJB

No	Action	Officer	Start Date	End Date	Status
2.11	<p>Establish communication channels between the chairs of committees within the parties, and the IJBs.</p> <p>From integration scheme: <i>“The Parties agree that in the event that one of its committees within its governance arrangements identifies an issue which is of direct and material relevance to the Integration Joint Board, the chair of that committee will advise the chairperson of the Integration Joint Board and the Chief Officer of that matter and will co-operate with the IJB in supplying such further information and evidence in respect of that matter as the IJB may reasonably request.”</i></p> <p>Further extract from integration scheme (in relation to clinical and care governance): From East Lothian: <i>“In advance of the establishment of the IJB the Parties agree that the chairs of all appropriate committees and groups will be informed that they are able to, and expected to, directly provide advice to the IJB.”</i></p> <p>From CEC: <i>“Those committees and groups may also advise an integrated professional group that provides advice to the IJB. Those committees and groups include, but</i></p>	Project Team	1 April 2015	31 March 2016	<p>AP has prepared a comprehensive list of all IJB members</p> <p>There is a separate piece of work for each party to maintain a list of their own committee members, which can be used to inform communication between it and the relevant IJB. Arguably a communication from the NHS Board Chairman and the council leader should advise the IJB of the details. A separate communication to the parties committees chairs should inform them as to how that they are able to, and expected to, directly provide advice to the IJB.</p> <p>Communications teams are working together and websites for Council and NHS have been refreshed with information. IJB’s are looking at website developments and other communication channels.</p>

Section 2: Developing the basic corporate governance arrangements for the IJB

No	Action	Officer	Start Date	End Date	Status
	<p>are not limited to:</p> <p>(a) Area Clinical Forum</p> <p>(b) Local consultative committees that have been established under Section 9 of the National Health Service (Scotland) Act 1978.</p> <p>(c) Managed Clinical/ Care Networks</p> <p>(d) Edinburgh Public Protection Committees (adult and child protection, drug and alcohol, violence against women, offender management etc). The IJB will consult these committees on any plans that may impact on the protection of children or vulnerable adults or people who are assessed as posing a risk</p> <p>(e) any integrated professional group which may be established.”</p>				
2.12	<p>IJB strategy for risk management and system of risk management to be developed.</p> <p>This needs to address how this will interact with the parties’ system of risk management.</p> <p>From CEC: “The IJB will develop and agree a risk management strategy in relation to carrying out of integration functions by 31st March 2016 or the integration start date if sooner.”</p>	Chief Officers (once appointed), in conjunction with the risk management teams of the parties	1 April 2015	31 March 16	All four IJBs have started development work on their risk management arrangements. An update on work in progress is required. Action: All
2.13	<p>Parties to ensure any relevant issues arising from external scrutiny work is shared with the IJB</p>	AP	22 April 2015	15 June 2015	AP has developed a spreadsheet identifying 34 regulators with an interest in the NHS Board’s

Section 2: Developing the basic corporate governance arrangements for the IJB

No	Action	Officer	Start Date	End Date	Status
	Need to devise a process to ensure the results of reports from Healthcare Environment Inspectorate, Healthcare Improvement Scotland, Care Commission etc get fed through.				<p>functions. It is clear that further work needs to be done to develop a system that would provide a single comprehensive and current picture of any regulatory issues. If that was in place, it would provide a solid basis to inform the Chief Officers, who in turn can inform their IJBs. It would also provide benefits to NHS Lothian itself.</p> <p>The NHS Lothian Risk Management Steering Group has considered a report on this subject, however further work required.</p> <p>What is happening with respect to local authority functions?</p>
2.14	Integration Joint Board to join the CNORIS Scheme	Chief Officers	1 Aug 2015	31 Aug 15	Complete. This has been taken forward by each IJB.

Section 3: HR/ Workforce

No	Action	Officer	Start Date	End Date	Status
3.1	<p>Appointment of the Chief Officer http://www.legislation.gov.uk/asp/2014/9/section/10</p> <p>Attend to all matters relating to due process for the appointment to be made once the IJB is established.</p>	Human Resources	1 April 2015	31 July 2015	<p>Partially Complete</p> <p>Three IJBs have appointed their Chief Officers. West Lothian IJB appointment process is currently underway.</p>
3.2	<p>Appointment of the Chief Finance Officer http://www.legislation.gov.uk/asp/2014/9/section/13</p> <p>The IJB is subject to Part 7 of the Local Government (Scotland) Act 1973.</p>	SG and local authority section 95 officers.	1 April 2015	October 2015	<p>Partially Complete</p> <p>Three IJBs have appointed their Chief Officers. West Lothian IJB appointment process is currently underway.</p>
3.3	<p>When a person is reporting to someone who is employed by a different organisation (Commitment within the integration schemes)</p> <ul style="list-style-type: none"> ✓ Guidance to be made available to line managers ✓ the Parties will establish professional leadership lines of accountability to ensure clinical and professional standards are monitored and maintained. 	HR/OD Group	1 April 2015	31 July 2015	<p>The HR/OD Group has started working on this. As per 'parent body' policies and procedures.</p> <p>Action: SH to pick up with MH re progress.</p> <p>AP on 3/2/16: I do have a query with the CLO on the NHS Board's authority to delegate to those it does not employ.</p>
3.4	Human Resources & Organisational Development Plan				<p>Action: As above Needs updated</p>

Section 3: HR/ Workforce

No	Action	Officer	Start Date	End Date	Status
	<ul style="list-style-type: none"> ✓ East Lothian HR&OD Plan 2014/15 to be reviewed in April 15 ✓ CEC – a workforce plan to be developed to support the implementation of the IJB strategic plan. OD plan and workforce plan to be finalised after completion of the first strategic plan. <p>Midlothian- The (HR&OD) plan for 2014 / 2015 is already agreed, and is being implemented, and will be reviewed in April 2015 and annually thereafter. The Parties will also support the IJB to prepare a joint Workforce Development and Support Plan through the provision of professional, technical and support services described in Section 6.4 of this scheme. This Plan will sit alongside and be informed by the IJB's Strategic Plan. The Workforce Development and Support Plan will be developed within six months of the approval of the Strategic Plan by the IJB.</p> <ul style="list-style-type: none"> ✓ 				
3.5	Joint Workforce Development & Support Plan			Within 6 months	NHS Lothian workforce plan to be circulated.

Section 3: HR/ Workforce

No	Action	Officer	Start Date	End Date	Status
	<p>✓ In East Lothian, parties committed to support the IJB to prepare such a plan through the review of professional, admin and technical services.</p>			<p>of approval of strategic plan.</p>	<p>Action: AMcM to circulate the NHS L workforce plan that was submitted with the 15/16 LDP.</p> <p>Update required as to where we are on joint workforce development and support plans.</p>

Section 4: Financial Management

No	Action	Officer	Start Date	End Date	Status
4.1	<p>IJB Financial Governance Arrangements (<i>Commitment within the integration schemes</i>)</p> <p>The IJB is responsible for approving its own policies, and this includes the basic financial framework and regulations, e.g. SFIs, Scheme of Delegation.</p> <p>There will be a limit to the amount of delegated authority given to the Chief Officer by the IJB, and members of the IJB team. The IJB may require certain matters to be approved by it, or one of its committees. Each IJB will need to develop these documents to meet their needs.</p>	IJB Chief Officer and Chief Finance Officer (once appointed).	1 April 2015	31 March 2016	<p>All four IJBs have approved their Standing Orders.</p> <p>See above re Chief Officer and Chief Finance Officer appointments.</p> <p>East Lothian and Midlothian have approved financial regulations.</p> <p>What else has been done or is still to be done by the IJBs?</p>
4.2	<p>Local Authority Accounts (Scotland) Regulations 2014 http://www.legislation.gov.uk/ssi/2014/200/contents/made</p> <p>The IJB must comply with these regulations, and systems need to be in place to allow it to do so.</p>	IJB Chief Finance Officer (once appointed), in conjunction with the NHS DoF	1 April 2015	31 March 2016	<p>Update: It will be for each IJB to put in its own arrangements in this respect, and advise the parties what it requires. What is the status of each IJB in terms of the 2014 regulations?</p>

Section 4: Financial Management

No	Action	Officer	Start Date	End Date	Status
		and local authority Section 95 officer.			
4.3	<p>Annual Financial Statement to accompany the IJB Strategic Plan http://www.legislation.gov.uk/asp/2014/9/section/39</p> <p>Such a statement must accompany the IJB's first strategic plan. Therefore the timing of this will depend on when the IJB intends to publish that strategic plan.</p>	As above	1 April 2015	31 March 2016	Update: It will be for each IJB to put in its own arrangements in this respect.
4.4	<p>Financial Assurance / Due Diligence Scottish Government guidance issued on this. http://www.scotland.gov.uk/Topics/Health/Policy/Adult-Health-SocialCare-Integration/Implementation/working_Groups/IRAG/GuidIntFinAssur</p> <p>The parties and the IJB itself should be assured that the basis of determining the resources to be allocated to the IJB is robust. The parties' internal auditors are to provide a report to the parties' audit committees on the process that has been followed.</p>	NHS Director of Finance and the local authority section 95 officer.	1 April 2015	31 March 2016	<p>The NHS Lothian Director of Finance presented a report on this to the NHS Board on 3/2/16.</p> <p>Not familiar with the status for the local authorities.</p> <p>The IJBs and the internal auditors will need to carry out what they are required to do.</p>

Section 4: Financial Management

No	Action	Officer	Start Date	End Date	Status
4.5	<p>Methodology and mechanics for hospital set aside</p> <ul style="list-style-type: none"> ✓ Both parties to review this work as part of the financial assurance process ✓ NHS Lothian to provide reports to the IJB on the use of the set-aside, as the IJB may specify (required by Section 28 below). ✓ Parties to agree a process to manage variations in the set-aside budget (<i>commitment in integration scheme</i>) <p>Section 28 of the Public Bodies (Joint Working) (Scotland) Act 2014 has some detailed requirements: http://www.legislation.gov.uk/asp/2014/9/section/28</p> <ul style="list-style-type: none"> ✓ The IJB may specify an amount (the “specified amount”) of its set aside to accompany each direction. ✓ If the health board uses less than the specified amount, the IJB may require the health board to repay the unused amount ✓ If the health board uses more than the specified amount, the health board may require the IJB to reimburse it for the additional amount used. 	NHS Director of Finance	1 April 2015	31 March 2016	<p>NHS Lothian will need to develop a consistent approach that it will apply for all four local authority areas.</p> <p>The paper to the F&R Committee on 13 May 2015 had some indicative figures.</p> <p>Actions:</p> <p>AMcM to circulate the NHS L F&R Committee paper.</p> <p>Councils to prepare ‘Council Due Diligence’ papers.</p> <p>S95 group drafting an ‘IJB Due diligence’ paper for discussion. Complete.</p> <p>Has the methodology for the set aside been finalised yet?</p>

Section 4: Financial Management

No	Action	Officer	Start Date	End Date	Status
4.6	<p>Hosted Services</p> <p>NHS Lothian to:</p> <ul style="list-style-type: none"> ✓ Identify core baseline budget for each hosted service, by local authority area ✓ Both parties to review this work as part of the financial assurance process 	NHS Director of Finance	1 April 2015	31 March 2016	<p>Paper on IJB Health 'budget setting' prepared and being discussed.</p> <p>As per above actions. Sits within the Due Diligence work.</p> <p>Are all issues relating to hosted services now resolved?</p>
4.7	<p>Re-design of working practices to service the requirements of the IJBs</p> <p>Commitment within the integration scheme to develop a sustainable model to support financial reporting to the IJB, as part of the review of professional, technical and admin services.</p>	NHS Director of Finance the local authority section 95 officers.	1 April 2015	31 March 2016	<p>This needs to be taken forward as part of the wider review of professional, administrative and technical services. NHS Lothian will need to consider how this impacts on its finance structure as a whole.</p> <p>Relates to action at 2.10</p> <p>Where are we now on this?</p>
4.8	<p>Development of a system of budgetary reporting for the Chief Officer's budget</p> <p>This is an element within 4.6, but the Chief Officer will need to have basic reporting immediately.</p>	NHS Director of Finance and the local authority section 95 officer	1 April 2015	31 March 2016	<p>NHS Lothian will need to develop an approach that will give it the flexibility to respond to differing needs of each IJB and Chief Officer.</p> <p>Reporting not required until resources delegated. See above.</p>
4.9	Council to confirm that it has the systems	Local	1 April	31	Complete

Section 4: Financial Management

No	Action	Officer	Start Date	End Date	Status
	to host the IJB financial accounts and recording of financial transactions.	authority section 95 officer	2015	March 2016	
4.10	IJB to determine its reserves strategy.	IJB Chief Officer and Chief Finance Officer (once appointed).	1 Aug 2015	31 March 2016	It is for each IJB to do this. What is the status of this for each IJB?
4.11	Parties to agree and approve their respective initial payments to the integration joint board	NHS Director of Finance and the local authority section 95 officer	1 April 2015	31 March 2016	Part of 'Due Diligence' on all four parties behalf. See above Suggest the detail as to how the initial payments will be agreed is set out here.
4.12	IJB needs to determine process to identify the amount of resources that will accompany the directions to the parties.	Chief Officer/ Chief Finance Officer	1 Aug 2015	31 March 2016	Should get an update to confirm that NHS Lothian has an agreed process with each IJB.
4.13	Use of Capital Assets From the integration scheme: "The Integration Joint Board, NHS Lothian and the	NHS Director of Finance, the local authority	1 April 2015	31 March 2016	Current thinking is that this should be dealt with through statements in the IJB Strategic Commissioning Plans and also through NHS Lothian Capital

Section 4: Financial Management

No	Action	Officer	Start Date	End Date	Status
	<p>Council will identify all capital assets which will be used in the delivery of the Strategic Plan. Further to this, the associated revenue and future capital liabilities will be identified for each asset.”</p> <p>“An agreement will be developed which specifies and regulates the use (in relation to integration functions) of capital assets belonging to one Party by the other Party, or jointly by both Parties. A similar agreement will specify and regulate the use by the IJB, in the carrying out of its functions, of assets belonging to the Parties. These agreements will be updated as required.”</p>	<p>section 95 officer, and Chief Officer</p>			<p>Investment Group and Capital Plan</p> <p>Relates to action at 2.10</p> <p>What is the current thinking now?</p>

Section 6: Performance Management

No	Action	Officer	Start Date	End Date	Status
5.1	<p>NHS Lothian to develop a “Lothian Hospitals Strategic Plan”.</p> <p><i>(Commitment within the integration schemes)</i></p>	AMcM/ JC?	1 April 2015	1 Dec 2015	<p>NHS Lothian has its Strategic Plan. Further work will be undertake in consultation with IJB’s and Acute through the group referenced at 4.6</p> <p>Agreed this work now needs to commence aligned with draft strategic commissioning plans. AMcM and Jim Crombie</p> <p>What is current status?</p>
5.2	<p>Parties to provide all required information and support to the IJB in preparing and consulting upon its Strategic Plan</p> <p>The Parties will support the IJB in ensuring that the consultation process associated with the preparation of each Strategic Plan for the Area includes other integration authorities likely to be affected by the Strategic Plan.</p> <p><i>(Detailed commitments within the integration schemes – see 5.11.17-5.1.19 of CEC scheme)</i></p>	AMcM	1 April 2015	31 March 2016	<p>The project team have agreed that the correct approach would be to take this forward as part of the review of the professional, administrative and technical services.</p> <p>Relates to action at 2.10</p> <p>What is current status? Is each IJB progressing with its strategic plan and satisfied with the support that it has received?</p>
5.3	Parties to nominate members onto the IJB	Project	1 April	30 June	Complete

Section 6: Performance Management

No	Action	Officer	Start Date	End Date	Status
	<p>Strategic Planning Group http://www.legislation.gov.uk/ssi/2014/308/contents/made <i>(Commitment within the integration schemes)</i></p> <p>It is the responsibility of the IJB itself to establish its own Strategic Planning Group before preparing its first strategic plan (Section 32(1) of the Act).</p> <ul style="list-style-type: none"> ✓ Both parties must nominate one person each to represent them on the Strategic Planning Group. (Section 32 (1) (a) of the Act) ✓ As per the integration scheme, the parties have committed to make recommendations to the IJB, with regard to the representation from health professionals and social care 	team	2015	2015	All four IJBs have their strategic planning groups in place.
5.4	The Parties will advise the IJB of any intention to change service provision where that change would have a significant impact on the Strategic Plan.			31 March 2016	Mechanism are now in place in both NHS Lothian and the relevant council to make this so. Via the group referenced at 4.6
5.5	Parties to ensure that draft IJB strategic			31	Mechanisms are now in place in both

Section 6: Performance Management

No	Action	Officer	Start Date	End Date	Status
	<p>plan sent to key professionals</p> <p>From CEC: “The Parties will ensure that the draft Strategic Plan is sent to the following senior professionals in order to secure their input and advice: (a) NHS Lothian Medical Director (b) NHS Lothian Nurse Director (c) NHS Lothian Director of Public Health & Health Policy (d) NHS Lothian Allied Health Professions Director (e) Chief Social Work Officer (f) Head of Housing. 6.3.6 The engagement of CEC professionals will not be limited to social work staff, but will extend to related professionals, such as, but not exclusively, occupational therapists, home care, housing and social care staff.”</p>			<p>March 2016</p>	<p>NHS Lothian and the relevant council to make this so.</p> <p>Through the reps on each IJB and the appropriate Directors.</p> <p>Action: agreed that each IJB Strategic Planning Committee engages the Area Clinical Forum as part of its process for developing and refreshing the strategic plan.</p>
<p>5.6</p>	<p>Parties to feed in intelligence from various processes in order to inform the development of the strategic plan</p> <p>From CEC: The Parties have a range of systems already in place to capture and respond to service users’ experience, and these will continue to be used as the Parties implement the directions of the IJB. As part of the wider strategic planning process, (particularly the joint strategic needs assessment process) and the performance management framework, existing work streams on (a) standards and quality improvement and (b) service user feedback will be used to inform how the IJB can address the integration delivery principles and deliver on the Outcomes.</p>				<p>As above</p>

Section 6: Performance Management

No	Action	Officer	Start Date	End Date	Status
6.1	<p>A set of shared principles will be developed and agreed between the Parties for targets and measurement based on existing best practice.</p> <p>(CEC scheme)</p>				<p>Are these different principles from the principles for the integration data set?</p> <p>For the acute/IJB data/information group. Action: AMcM.</p> <p>What is the current status?</p>
6.2	<p>A core group to be set up by the parties to develop a comprehensive management system for the IJB</p> <p><i>(Commitment within the integration schemes)</i></p> <p><i>“A core group of senior managers and relevant support staff from each Party will develop the performance framework for the IJB, taking account of relevant national guidance.”</i></p> <p>The IJB will be monitoring performance of its functions throughout the year as part of routine governance, and will also be required to publish a performance report. http://www.legislation.gov.uk/ssi/2014/326/contents/made The parties need to start the work so that the information can be readily produced.</p>				<p>Processes are underway in each shadow IJB and through management lines to develop new organisational structures.</p> <p>Edinburgh has a performance management group who have done some work on an integrated quality assurance framework. Susanne has shared information with the team.</p> <p>NHS Lothian has also established an integration dataset group.</p> <p>Relates to the action at 2.10 What is the current status?</p>

Section 6: Performance Management

No	Action	Officer	Start Date	End Date	Status
6.3	<p>An integration dataset to be created for the integration joint board.</p> <p><i>(Commitment within the integration schemes – further detail therein)</i></p> <p>East Lothian: “The principles for an Integration Dataset will be prepared by the Parties by 1 April 2015 and this will be reviewed and developed into the Integration Dataset during the strategic planning process in 2015.”</p> <p>CEC: Goes on to say: “A final Integration Dataset will be submitted for approval by the IJB and the Parties before 1 March 2016.”</p>			31 March 2016	<p>Via the group referenced at 4.6</p> <p>As above</p>

Section 7: Other Matters

No	Action	Officer	Start Date	End Date	Status
7.1	<p>Parties to support the Chief Officer in the development of a Participation and Engagement Strategy</p> <p>From East Lothian integration scheme: “The IJB’s participation and engagement strategy will be produced before the date the IJB approves the Strategic Plan for public consultation”</p> <p>CEC: “The IJB Participation and Engagement Strategy will be produced before the date when the IJB approves the Strategic Plan. When the IJB approves the Strategic Plan, the members of the IJB must be satisfied that the Strategic Plan has had sufficient consultation and that the Participation and Engagement Strategy has been followed.”</p>				<p>This could be taken forward as part of the review of the professional, administrative and technical services.</p> <p>Need to be sensitive to the timing of the approval of the engagement strategy and the approval of the strategic plan.</p> <p>Relates to the action at 2.10</p> <p>What is the current status of the Participation and Engagement Strategy for each IJB?</p>
7.2	<p>Procedures/ protocols for information sharing to be developed.</p> <p>From CEC “The Pan-Lothian and Borders General Information Sharing Protocol update will be agreed by 31 March 2015” “The Information Sharing Agreements and procedures applicable to the IJB will be agreed by 31 March 2015.”</p>			31 March 15	<p>Following a meeting with the ICO it has been confirmed that IJBs will be data controllers.</p> <p>The Director of Public Health & Health Policy and the Nurse Director shall be shortly issuing a briefing on the implications to IJB Chief Officers.</p>

Section 7: Other Matters

No	Action	Officer	Start Date	End Date	Status
7.3	<p>Data Protection Act Compliance</p> <p>Parties to work together to confirm that there is a common understanding and no confusion as to how they will continue to discharge their responsibilities under the Act, in light of the creation of the IJBs. (The parties will continue to be data controllers, and will continue to process personal data and sensitive personal data in order to carry out their functions and IJB directions).</p>				See 7.2
7.4	<p>Integration of complaints systems From East Lothian integration scheme:</p> <p>“The Council and NHS Lothian will align their complaints processes as far as possible until such time as their respective complaints processes can be fully integrated. Joint working protocols will be adopted so that the process of making a complaint is as simple as possible and complaints about integrated services are responded to clearly, thoroughly and timeously. These joint working protocols will identify the</p>				<p>MJ (who has left) was previously leading for NHS Lothian.</p> <p>Need a briefing on the current status of this, along with deadlines.</p>

Section 7: Other Matters

No	Action	Officer	Start Date	End Date	Status
	lead organisation for each integrated service and will include the contact details of officers responsible for managing any complaints received. “				
7.5	<p>Freedom of Information (Scotland) Act 2002</p> <p>This Act has been updated by Scottish Statutory Instrument so that integration joint boards are deemed “Scottish public authorities”, and therefore subject to the Act. http://www.legislation.gov.uk/ssi/2014/354/contents/made</p> <ul style="list-style-type: none"> ✓ Each IJB will need to have a system in place to comply with the Act and respond to any FOIs sent to it. ✓ Section 1 of the Act gives entitlement to information held by the public authority. It is unlikely that the IJB itself will actually hold much operational information, but it is foreseeable it will get FOIs anyway on IJB business. 				<p>A matter for the IJBs once they are established.</p> <p>However after the functions have been delegated, the parties should be alert to not answering questions which are actually the responsibility of the IJB</p> <p>Each Council and NHS L to provide contact details for FOI lead. NHS Lothian is Richard Mutch, Richard.mutch@nhslothian.scot.nhs.uk</p>

Section 7: Other Matters

No	Action	Officer	Start Date	End Date	Status
	<p>✓ The parties are not obliged to answer questions on behalf of the IJB. The parties and the IJB should work together to publish information that guides the public as to the best place to send FOI requests.</p>				
7.6	<p>Public Records (Scotland) Act 2011</p> <p>The Public Bodies (Joint Working) (Scotland) Act 2014 (Consequential Modifications and Savings) Order 2015 has been passed. http://www.legislation.gov.uk/ssi/2015/157/schedule/made</p> <p>Integration Joint Boards have to prepare their own Records Management Plans for their records in line with the 2011 Act.</p>				<p>A matter for the IJBs once they are established.</p> <p>Work is being progressed with statutory bodies at present re compliance with the principles around public records management. NHS Lothian lead is AMcM.</p> <p>What is the current status?</p>
7.7	<p>Regulation/ Inspection Regimes</p> <p>Sections 54-56 of the 2014 Act makes amendments to other law, with the effect that (amongst other things):</p> <p>✓ The Care Inspectorate may inspect the</p>				<p>Relates back to appointment of the professional roles at 2.2 and the role of the Medical and Nursing and Public Health and Chief Social Worker.</p> <p>The work described at 2.13</p>

Section 7: Other Matters

No	Action	Officer	Start Date	End Date	Status
	<p>planning, organisation or co-ordination of services carried out by an Integration Joint Board. This includes considering whether they comply with the integration delivery principles or assist with the national health & wellbeing outcomes.</p> <ul style="list-style-type: none"> ✓ Healthcare Improvement Scotland (HIS) given the same above powers. ✓ HIS and the Care Inspectorate can do joint reviews. <p>IJBs and relevant services need to be prepared for this.</p>				<p>looking at regulatory bodies is also pertinent to this.</p>
7.8	<p>Public Sector Equality Duty</p> <p>An integration joint board is a relevant Scottish authority for the Equality Act 2010.</p>	Chief Officer	27.6.15 Except West Lothian (21.9.15)	31.3.16 (to have determined how the duties can be carried out)	A matter for the IJBs once they are established.