



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 29 June 2017

BY: Chief Officer

SUBJECT: Changes to the Voting Membership and Depute Chair of East Lothian Integration Joint Board and the terms of reference for the Audit and Risk Committee

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1 PURPOSE

- 1.1 This report asks the Integration Joint Board (IJB) to note the changes to East Lothian Council's voting members and agree the appointment of the Depute Chair. The IJB is also invited to note proposals for a review of the terms of reference for the Audit and Risk Committee.

2 RECOMMENDATIONS

The IJB is asked to:

- 2.1 Note that the East Lothian Council voting members will be: Councillor Shamin Akhtar, Councillor Stuart Currie, Councillor Sue Kempson and Councillor Fiona O'Donnell.
- 2.2 Agree the appointment of the Depute Chair of the IJB for the period 2017-2019.
- 2.3 Note that a review of the terms of reference of the Audit & Risk Committee will be undertaken to ensure that they reflect the audit and risk arrangements of NHS Lothian and the Council's Audit & Governance Committee. The new terms of reference will be presented to the IJB's August meeting and nominations for membership will also be sought at that time.

3 BACKGROUND

- 3.1 Following the local government elections on 4 May 2017, East Lothian Council met on 23 May and approved its voting members for the East Lothian Integration Joint Board for the period 2017-2022: Shamin Akhtar, Stuart Currie, Sue Kempson and Fiona O'Donnell.

- 3.2 In line with the Scheme of Integration, the Chair of the IJB has recently transferred to NHS Lothian for the period 2017-2019 and the role of Depute Chair will be held by an East Lothian Council voting member.
- 3.3 The Chair should seek a nomination from amongst the East Lothian Council voting members and should then seek IJB agreement to that nomination.
- 3.4 The review of the terms of reference for the Audit & Risk Committee will be undertaken by the Chief Officer, Chief Finance Officer, in conjunction with the Chair of the IJB. As indicated above, the revised terms of reference will be presented to the IJB's August meeting and nominations for membership of the Committee will be sought at that time.

4 POLICY IMPLICATIONS

- 4.1 There are no policy implications of the paper.

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 This report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

6 RESOURCE IMPLICATIONS

- 6.1 There are no resource implications of this paper.

7 BACKGROUND PAPERS

- 7.1 None.

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DATE	16 June 2017



MINUTES OF THE MEETING OF THE EAST LOTHIAN INTEGRATION JOINT BOARD

THURSDAY 30 MARCH 2017
COUNCIL CHAMBER, TOWN HOUSE, HADDINGTON

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Voting Members Present:

Mr A Ash
Councillor S Akhtar
Councillor S Currie (items 1 – 10)
Councillor Goodfellow (items 1 – 11)
Councillor D Grant
Ms F Ireland
Mr P Murray

Non-voting Members Present:

Ms F Duncan (items 6 – 15)
Dr R Fairclough
Dr A Flapan (items 5 – 15)
Mr D King
Ms A MacDonald
Mrs M McKay (items 1 – 9)
Mr T Miller
Ms S Saunders
Mr D Small

ELC/NHS Officers Present:

Mr M Bonnar
Mr P Currie
Mr B Davies
Ms J Ogden-Smith

Clerk:

Ms F Currie

Apologies:

Mr A Joyce
Mr D Harvie
Ms M McNeill
Mr A Wilson

Declarations of Interest:

Mr E Stark declared an interest in relation to Item 7 – Integrated Care Fund.

1. MINUTES OF THE MEETING OF THE EAST LoTHIAN INTEGRATION JOINT BOARD OF 23 FEBRUARY 2017

The minutes of the East Lothian Integration Joint Board meeting of 23 February 2017 were approved.

2. MATTERS ARISING FROM THE MINUTES OF THE MEETING ON 23 FEBRUARY 2017

The following matters arising from the minutes of the meeting held on 23 February were discussed:

Carer's Strategy - Councillor Shamin Akhtar asked when work would begin on the Strategy. Bryan Davies advised that a Strategy Officer was now in post and would shortly begin working with partners and stakeholders.

Cost of Care at Home – In response to a question from Councillor Jim Goodfellow, David Small circulated a briefing note to members regarding an article in the East Lothian Courier on 23 March 2017. The article focused on the average hourly rate for care at home for older people for East Lothian Council compared to other councils. Mr Small summarised the response contained in the briefing note which detailed the factors affecting the average rate and why direct comparisons between councils were not always helpful.

A brief discussion followed regarding the costs of care, the conditions of service for care providers, the expectations of service users in relation to reliability, continuity and quality of care provision, and whether a lower cost per hour suggested that the Council was getting better value for money than other local authorities who charged more. Mr Davies explained some of the measures in place to improve the relationship with care providers and the level of service. He also confirmed that regular surveys were undertaken to assess the views of service users on the type and quality of care they receive.

Mr Small added that while the IJB had overall responsibility for delivery of the Strategic Plan it was for the Council to determine the details of care contracts. He acknowledged that there may come a point where this might impact on the IJB's ability to deliver its priorities but matters had yet to reach that stage.

Ministerial Steering Group – Mike Ash provided an update to members on the work of the Group in reviewing health and social care targets and indicators. He reported that the Group had taken on board comments and would provide a revised list which may contain more than the current six performance indicators.

3. CHAIR'S REPORT

The Chair said he would reserve his remarks to the end of the meeting.

Valedictory

On behalf of all of the members of the IJB, Mr Small expressed his sincere thanks and appreciation to Donald Grant and Mike Ash, both of whom would shortly step down from the East Lothian IJB. He praised their commitment and drive which he said had been instrumental in advancing change over the past 5 years through the Community

Health Partnership, the Shadow Board and culminating in the establishment of the IJB. Mr Small concluded that these partnerships had been stronger as a result of their efforts and would be diminished by their departure. He wished them both well for the future.

4. NHS HEALTHCARE GOVERNANCE COMMITTEE

Fiona Ireland reported that she had not been able to attend the last meeting of the NHS Healthcare Governance Committee. However, she had received feedback on the discussion and confirmation that District Nursing across the Lothian area and wider primary care priorities would be included as standing items on the agenda for future meetings.

Mr Small also advised members that there would be a 'Second Summit on Primary Care' taking place on 4 May 2017. While he understood that many of the Councillors would be occupied by the local government elections, he encouraged other members to attend. Further details would be circulated to members via e-mail.

5. EAST LOTHIAN COUNCIL POLICY & PERFORMANCE REVIEW COMMITTEE AND AUDIT & GOVERNANCE COMMITTEE

Councillor Goodfellow advised members that there had been no items of significance to the IJB on the agendas of the most recent meetings of the Policy & Performance Review Committee and the Audit & Governance Committee.

6. DELAYED DISCHARGES

The Chief Officer had submitted a report updating the IJB on performance on delayed discharges in East Lothian.

Alison MacDonald presented the report. She outlined the key points of the report and provided additional context to each of the 15 delayed discharges. She acknowledged that there was a personal story behind each number and assured members that the focus was on addressing each person's individual needs. She added that a lot of good work had gone into reducing the delayed discharge figure from 61 to 15 and she hoped that this would continue to decrease over the coming months.

Ms MacDonald responded to questions from members providing further information on multi-disciplinary assessments to identify the most suitable care packages and the involvement of non-professional carers. She also confirmed that she was aware of the 72 hour target indicator but not of any date having been set for its achievement.

Mr Ash commented that the report from the Scottish Government Working Group, due out later in the year, may provide more clarity on this matter.

Councillor Stuart Currie commented that if someone is assessed as being ready for discharge it was unacceptable that they should be kept in hospital. Referring to the regular fluctuations in the figures he said that he would like to see a more consistent improvement. He did not question the level of commitment shown by staff but he pointed out that the target was 0.

Dr Richard Fairclough agreed that in an ideal world the aim would be to reach 0. However, as a community GP, he would prefer to see people discharged with an appropriate care package in place rather than discharged too early and risk a failure in care resulting in readmission to hospital. In his view, it was worthwhile spending a few more days to get things right.

Mr Davies and Ms MacDonald referred to new procedures in place to try to avoid some delayed discharges, such as leaving open existing care packages for those people on short-term admissions and developing care packages at a much earlier stage.

Dr Jon Turvill added that avoiding unnecessary hospital admissions in the first place would also help matters.

Mr Small agreed that consistency was important but reminded members that the figures were influenced by a range of factors including seasonal fluctuations.

The Chair welcomed members' comments and noted the work ongoing to continue reducing the delayed discharge figure.

Decision

The IJB agreed to note the recent improving trend on performance.

7. DELAYED DISCHARGE FUND AND INTEGRATED CARE FUND

The Chief Officer had submitted a report updating the IJB on utilisation of the Delayed Discharge Fund and the Integrated Care Fund in 2016/17 and presenting propositions for their use in 2017/18.

Paul Currie presented the report. He outlined the main points of the report, summarising some of the key projects and proposals for the development of future initiatives. He reminded members of the importance of early intervention in the acute care process to avoid delayed discharges and the need to further develop out of hours services, and improve engagement with family and support networks to avoid unscheduled admissions.

Mr Murray asked about the overlap between some services and the possibility of a review and restructuring to avoid duplication.

Ms MacDonald advised that many of the services had been set up in response to demand but acknowledged that there was overlap and that this would be looked at as part of a broader review aimed at developing more flexible community-based services.

Mr Ash noted that the Delayed Discharge Fund was now part of the base budget and asked why the same had not been done for the Social Care Fund, given that the Scottish Government had made provision for this to happen.

Mr Small reminded him that there may be a potential change to the money coming from the Government. Mr King said that holding it separately gave the opportunity to use it for transformation; however, it could be brought into the baseline if members preferred this option.

Ms Ireland supported Mr Ash's comments stating that the only way to transform district nursing and community provision was to bring it in as part of the core budget. She said that the impact of keeping these services separate needed to be fully considered.

Margaret McKay welcomed the report as a useful synopsis. She noted that the amount of money for carers was small and that the emphasis had been placed on care packages. Mr King advised that there was also a modest amount for the Carers' Strategy which had been missed out of the report in error. This would be reinstated.

In response to further questions on funding, Mr Small advised members that there was limited money available and choices would have to be made on what was possible. He added that it would be very important for the IJB to meet its commitments in relation to dementia sufferers and their families, as they were not doing so at present.

Councillor Currie said that baseline budgets and tracking outcomes were both important. He also supported the funding of the Carers' Strategy but questioned whether the agreed budget would be sufficient.

Mr Murray was concerned that IJB should concentrate its own priorities rather than those imposed by others.

Mr Ash said that his understanding was that the Scottish Government was trying hard to make money available in the baseline budget. He agreed with the idea of a transformation fund but it should not be limited to the Social Care Fund.

Decision

The IJB agreed to:

- (i) Note the range of initiatives made possible by the Delayed Discharge Fund and the Integrated Care Fund which have improved the way care is provided across East Lothian through a focus on community based support and care delivery at home or in a homely setting;
- (ii) Support the continuing development of the initiatives into the next financial year;
- (iii) Support the incorporation of the Delayed Discharge funding into the baseline operational budget to continue the services it supports.

8. PRIMARY CARE PRIORITIES IN EAST LoTHIAN

The Chief Officer had submitted a report informing the IJB of the intended focus of work in 2017-18 to support, stabilise and develop General Practitioner (GP) primary care services across East Lothian. This follows on from a range of actions taken during 2016-17 to support GPs and their teams.

Mr Currie presented the report. He outlined the background and key proposals for primary care development.

The members raised questions around the lack of developer's contribution for healthcare services in the new Blindwells settlement and the proposals for GP services.

Mr Currie said it was his understanding that Phase 1 of the development fell outside of the scope for section 75 contributions but that this may be an option for Phase 2.

Mr Small added that while the new Local Development Plan (LDP) included a clear framework for section 75 contributions for healthcare, the Blindwells planning application was dealt with under the 2008 LDP which did not include this provision. However, he had been assured that the phases of the development which come forward under the new LDP will be subject to section 75 agreements.

Dr Turvill declared an interest as a member of one of the GP practices involved in discussions over the provision of a small 'seed' practice which would eventually migrate to Blindwells. He said that the Cockenzie practice was close enough geographically to the Blindwells site although public transport links may have to be reviewed.

Mr Murray commented that this report pointed the IJB in the right direction and offered a model which may be able to meet future demand across the county. He agreed with proposals for a multi-disciplinary approach but was concerned that the message was not being relayed strongly enough internally or externally. He said that the IJB needed to ensure that whatever primary care model was put in place it supported a reduction in acute beds.

Councillor Currie observed that the Blindwells development would progress over the coming years but he would have preferred to see a section 75 contribution for healthcare. In terms of access to primary care services in Musselburgh, he supported the idea of a roll-out of the new model which would allow time to build community confidence. He emphasised the importance of continued dialogue with the community to promote the new services and demonstrate how these could benefit local people.

Ms Ireland supported the 8 priorities set out in the report but had concerns about the funding for these services. She said it would be helpful to see figures for each of the priorities.

Mr Small advised that further money would be available and a follow-up report would be presented to the IJB when these sums were known. In the meantime, he said it was important that the IJB saw these proposals as they would be reflected in the Directions for 2017/18.

Dr Fairclough welcomed a report which prioritised GP services and said that the focus should be on a multi-disciplinary approach. He agreed with other members that funding remained a concern and urged the IJB to consider carefully how it spent money across the county and not to perpetuate existing health inequalities. He acknowledged the need to be realistic about the challenges of delivering these services and the importance of getting the message across that a change to services did not necessarily mean a reduction in services.

Decision

The IJB agreed to:

- (i) Note that general practitioner managed services across East Lothian remain under pressure as a result of a number of local and national factors;
- (ii) Approve plans to focus primary care development input and available funding on the following priority areas:
 - Musselburgh Primary Care Access Service
 - East Lothian Care Home Team

- Primary care nursing training
- Practice-based pharmacists
- LEGup support for list size growth
- Provision of IT hardware
- Future planning for a new practice at Blindwells
- Diabetes LES

9. SET ASIDE INVESTMENT PROPOSALS FOR 2017-18

The Chief Officer had submitted a report presenting to the IJB the NHS Lothian and acute hospitals Set Aside investment proposals for 2017-18 and seeking approval to secure outcomes from planned developments which are of benefit to East Lothian residents and which shift the balance of care.

Dr Turvill presented the report outlining in detail the background to and reasons for the recommendations.

Dr Fairclough welcomed the shift towards community-based care but expressed his concern that the necessary resources would not follow and that this would create an increased risk of failure.

Mr Ash said that the IJB should continue its dialogue and make it clear to NHS Lothian that it cannot support its proposals as they stand and that money not invested in acute beds must be passed on to the IJB.

Mr Murray urged caution noting that it would be a significant challenge to get to 85% bed capacity. However, he accepted that a community-based solution was needed.

Dr Andrew Flapan said that he appreciated the views of members however NHS Lothian had a requirement to deliver medical care and to meet waiting time targets. Acute medical units were not long stay units and moving patients elsewhere in the hospital could result in the cancellation of admissions for routine operations.

Mr Small accepted these arguments but reminded members that the report was asking them to consider exploring alternatives and not to agree movement in budgets.

Councillor Currie observed that there were consequences to every decision and that the whole point of integration was to make different choices to improve outcomes. He referred to concerns expressed by constituents about the distance they were required to travel to hospital and the difference it would make if services were delivered in East Lothian. He accepted that part of the IJB's role was to assess the risks but he urged members not to delay too long in making their decision.

Dr Fairclough reiterated his concerns about funding and additional pressures on primary care services. Dr Turvill supported this view and reminded members that it was not simply resources but also manpower and putting in place the mix of staff to deal with demands in a different way.

Decision

The IJB agreed:

- (i) To note the intention of NHS Lothian (articulated in its financial plan) to establish additional beds in the Acute Medical Unit (AMU);
- (ii) To note NHS Lothian's intention to fund the continuing expansion of insulin pump provision and its inclusion in the NHS Lothian financial plan;
- (iii) That further discussion is needed with NHS Lothian to look at acute and community alternatives to the AMU expansion and to examine the merits of the NHS Lothian plans for continuing expansion of insulin pump provision and that therefore these developments should not be supported at this time;
- (iv) to support plans for the HSCP to engage with NHS Lothian on work to deliver the principles of the Modern Outpatients report, particularly to reduce unnecessary outpatient activity.

10. DRUG AND ALCOHOL FUNDING IN EAST LoTHIAN 2016/17 AND 17/18

The Chief Officer had submitted a report providing an update to the IJB in relation to the work being undertaken to deliver a redesign of drug and alcohol services driven by the 23% reduction in the financial year 2016/17 and the shift in the responsibility for alcohol and drugs to be a fully delegated function of the IJB.

Sharon Saunders reminded members that a report had been submitted to a previous meeting of the IJB regarding the reduction in funding. Since then further work had been undertaken and this most recent report connected to the proposed Directions for 2017/18 which would be discussed later in the meeting.

Martin Bonnar presented the report. He outlined the main points drawing members' attention to the operational transfer of the East Lothian element of the pan-Lothian substance misuse service and the savings agreed by the MELDAP Strategic Group in January 2017.

Mr Small and Mr King responded to questions from members regarding the implications of the budget allocations from the Scottish Government and NHS Lothian outlining the reasons for seeking to maintain the 12% share of the budgets.

Councillor Akhtar asked several questions relating to prevention, additional budgets and the proposals for a recovery Hub. Ms Saunders provided further detail on the service model and how this would link in with other services in the Esk Centre and the Brunton Hall. She recognised the need to look further at services in the east of the county and said that proposals would be developed and brought back to the IJB.

Dr Turvill reported that as a GP he had already noticed a knock on effect of the anticipated budget cuts in local services, particularly in staffing levels and increased waiting times. He noted that any further deterioration in services would impact not only GP services but other primary and secondary care services too.

Mr Bonnar acknowledged these anxieties and reiterated that securing a 12% allocation would allow the IJB to mitigate the anticipated cuts to a much greater extent.

Mr Small advised that there would be a meeting of IJB Chief Officers in the coming week and with members agreement he would take these proposals to that meeting.

Decision

The IJB agreed to:

- (i) note the process agreed by the Midlothian and East Lothian Drugs and Alcohol Partnership [MELDAP] Strategic Group to manage the loss of 23% of the available income for Drugs and Alcohol Services in East Lothian;
- (ii) note the intention to use MELDAP reserves for East Lothian where appropriate to smooth the transition in making the agreed budgetary changes and service developments for financial year 2017-18;
- (iii) support the redesign process by directing NHS Lothian to:
 - Make available East Lothian's full 12% share of the drug and alcohol funding available to the IJB from Scottish Government and 12% of NHSL Core monies spent in the East Lothian IJB area. This would mitigate some of the impact of the removal of 23% of Scottish Government funding and will minimise the impact on service provision. Previously, East Lothian received only 10% of drugs and alcohol from these sources.
 - Ask MELDAP to initiate a redesigned drug and alcohol service for East Lothian within the available financial envelope designed on a community based, recovery based model for future IJB agreement

Sederunt: Councillor Currie left the meeting.

11. INITIAL POSITION STATEMENT ON THE USE OF SOCIAL CARE FUND TO SUPPORT ADDITIONALITY IN SOCIAL CARE PROVISION

The Chief Finance Officer had submitted a report informing the IJB of the interim position with regard to the use of the Social Care Fund in 2016/17 to support additionality of service provision in the delivery of social care with plans to have a final position update to be provided by June 2017 once year end budget processes have been completed.

Mr Davies presented the report. He summarised the background to the use of the Social Care Fund and drew members' attention to some of the examples of additionality achieved during 2016-17. Further work was required on tracking how the money was being spent and this would form part of the follow up report in June. He also said that there would be the opportunity, after the year end, to produce a financial analysis and comparison between 2015/16 and 2016/17.

In response to questions Mr Davies provided clarification of some of the terms in the report.

Ms Ireland asked if it would be possible to have a more detailed analysis of the figures and outcomes and Mr Davies said he would aim to include this in the June report.

Peter Murray commented that, in his view, additionality was about doing things differently and not simply doing more of the same. Mr Small reminded him that the IJB had previously agreed that additionality could include doing more of the same.

Councillor Goodfellow observed that this could be the case where a component of the population was increasing, for example the elderly, and this required an increase in existing services.

Decision

The IJB agreed to:

- (i) Note the interim position statement on the use of the Social Care Fund;
- (ii) Note that a full update will be forthcoming in June 2017 once all the financial information is available on completion of year end processing of accounts for 2016/17.

Sederunt: Councillor Goodfellow left the meeting.

12. BUDGET SETTING 2017/18

The Chief Finance Officer had submitted a report setting out for the IJB the 2017/18 budget propositions from East Lothian Council and NHS Lothian. The report also examined the projected financial pressures for 2017/18 which had been developed by East Lothian Council, NHS Lothian and the IJB.

Mr King presented the report. He referred to the report presented to the IJB on 23 February 2017 and the progress made since that meeting. He outlined in detail the budget propositions from East Lothian Council and NHS Lothian, the Social Care Fund and the key financial pressures identified for 2017/18. He also referred to the Scottish Government's recent guidance stating that IJBs should have in place a 3 year financial plan and he said he hoped to provide a draft outline to the members at the June meeting.

The Chair welcomed the proposal to formulate a 3 year financial plan.

Mr Ash asked whether Mr King considered that the money offered in the set aside budget was an equitable share of the pressures overall and whether he was asking the IJB to accept the budget on that basis. Mr King confirmed that his recommendation was that the IJB accept the proposals and that he was confident this represented an equitable share of the pressures.

Mr Murray said that it would be helpful to see figures showing the savings and the impacts of these budget proposals. Mr King replied that further information would become available later in the year but in the meantime the process needed to move forward.

Mr Small acknowledged members' concerns about gaps in the information but reminded them that the financial seminar held in January had considered these matters.

Ms Ireland reiterated that the IJB must have information on high level plans to address these pressures.

Mr Ash said that Mr King's role as section 75 officer was to examine the information and give advice. He took assurance from the information provided and Mr King's recommendation. He agreed that it was up to the members to decide whether to accept

the advice given but his understanding was that the purpose of this paper was to allow the IJB to move forward and issue Directions for 2017/18.

Mr Murray accepted Mr Ash's point but agreed with Ms Ireland that information was missing and this was the time to have these discussions.

Mr Small stated that the Directions were drafted on the basis that there would be a balanced budget and although the IJB did not have all of the information on the Set Aside budget yet, Mr Ash's point about the section 75 officer was valid.

Decision

The IJB agreed to:

- (i) Accept the formal budget proposition from East Lothian Council;
- (ii) Accept the indicative budget proposition from NHS Lothian;
- (iii) Receive a further report at the June IJB meeting further detailing the financial management propositions for 2017/18.

13. PROPOSED DIRECTIONS FOR 2017-18

The Chief Officer had submitted a report presenting to the IJB a proposed set of Directions to be issued to NHS Lothian and East Lothian Council in March 2017.

Mr Currie presented the report. He advised members that the Directions for 2017/18 were an amalgamation of those that were new and those carried forward from 2016/17. He said that information had been given to the partners and discussions had taken place to ensure that they understood what the IJB was asking them to do. He referred to the list of Directions contained in the report, the related budgets and the process for performance monitoring. He reminded members that further Directions may come forward during the year and that these would be presented to the IJB for approval.

Mr Murray said that it would be helpful to have further information about where the savings were being drawn from and what benefits were expected from additionality.

Mr Small agreed that this could be looked at and in the meantime, he reminded members that it was up to the IJB to decide which Directions to approve and that, following further discussions on efficiencies at the June meeting, the IJB could decide to issue further Directions.

Mr Ash noted that these Directions were based on the information provided in the report for the previous agenda item. He said he hoped that as performance monitoring information came forward the efficiencies would become clearer allowing the IJB the opportunity to issue revised Directions, should that be necessary. He suggested that this should be discussed with the partners so that they understand their requirement to provide information to allow the IJB to do what it needs to do.

Decision

The IJB agreed to:

- (i) Note end of year progress against the 2016-17 Directions and the decision taken to either end, continue or replace each of these individual Directions.

- (ii) Approve the proposed 2017-18 Directions which require NHS Lothian and East Lothian Council to take action with partners across a range of priority services; and
- (iii) Note that each partner responsible for delivering a Direction is required to report on progress with these quarterly, or as frequently as required by the IJB for the purposes of monitoring achievement.

14. CHANGES TO THE VOTING MEMBERSHIP AND CHAIR OF EAST LOTHIAN INTEGRATION JOINT BOARD AND NHS MEMBERSHIP OF THE AUDIT AND RISK COMMITTEE

The Chief Officer had submitted a report asking the IJB to note the changes to NHS Lothian membership, to agree appointment of a Chair and to agree transitional arrangements for the approval of minutes.

Mr Small confirmed that Mr Ash would be moving on to Edinburgh IJB from 1 April and would be replaced by Professor Moira White. He also reminded members that the Chairmanship of the IJB would switch from East Lothian Council to NHS Lothian as of 1 April and he sought a nomination from the NHS Lothian voting members.

Mr Ash advised that the NHS Lothian nominee was Peter Murray. His nomination as Chair was approved by the IJB members.

Mr Small then sought approval for Fiona Ireland to replace Mr Murray on the Audit and Risk Committee. This was also approved.

The Clerk also outlined the proposals for transitional arrangements for the approval of minutes as a result of the impending local government elections and likely change in voting membership.

Decision

The IJB agreed to:

- (i) Note that Mr Mike Ash is to be replaced by Professor Moira White an an NHS Lothian voting member from 1 April 2017;
- (ii) The appointment of Peter Murray as the Chair of the IJB for two years from April 2017;
- (iii) Fiona Ireland replacing Peter Murray as an NHS member of the Audit and Risk Committee; and
- (iv) That the minutes of the most recent meetings, which could not be approved by the IJB or the Audit and Risk Committee before the change in membership, be submitted to the current Chairs for verification and signing.

15. RESERVES POLICY

The Chief Finance Officer had submitted a report providing the IJB with a draft Reserves Policy for consideration and approval.

Mr King presented the report. He briefed members on the requirement for the IJB to have in place a Reserves Policy and sought their approval of the draft provided.

Decision

The IJB agreed to:

- (i) Note the contents of the report; and
- (ii) Approve and adopt the draft reserves policy as laid out in the annex to the report.

VALEDICTORIES

Councillor Grant reflected on his involvement in health and social care, from the initial discussions around integration of services in 2012 to the establishment of the East Lothian IJB in 2015. He said he was confident that the IJB would continue to go from strength to strength. He offered his sincere thanks to Mike Ash, to members of the IJB and to colleagues in the Council and NHS Lothian for their support and wished them well for the future.

Mr Ash offered a formal vote of thanks to the Chair for his leadership which he said had exemplified how the partnership should work on both a personal and professional level. He also acknowledged the contributions of the staff within the Council and NHS Lothian.

Signed

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Councillor Donald Grant
Chair of the East Lothian Integration Joint Board



REPORT TO: East Lothian Integration Joint Board
MEETING DATE: 29 June 2017
BY: Chief Finance Officer
SUBJECT: Financial Update – 2016/17 out-turn and 2017/18 update

7

1 PURPOSE

- 1.1 This report lays out the financial out-turn for 2016/17 for the IJB and updates the financial projections and planning for 2017/18

2 RECOMMENDATIONS

The IJB is asked to:

- 2.1 Note the financial out-turn for 2016/17
- 2.2 Accept the formal budget proposition from NHS Lothian for 2017/18
- 2.3 Note the drug and alcohol funds carried forward on behalf of the IJB by East Lothian Council from 2016/17 to 2017/18.
- 2.4 Note the financial update for 2017/18 and the expectation that the IJB will break-even.

3. BACKGROUND

2016/17 Out-turn

- 3.1 During the financial year 2016/17, the IJB had a financial risk sharing agreement with its partners – East Lothian Council and NHS Lothian. In essence this agreement was that any health overspends against the IJB's budgets would be covered by NHS Lothian and East Lothian Council made an additional £1.0m available to cover overspends in the social care budgets.
- 3.2 NHS Lothian wrote to the IJB on 22 April 2017, laying out the charges to the IJB for the delivery of the IJB's functions that had been incurred by NHS Lothian in 2016/17. The charges being a net cost to the IJB of £109.596m. As agreed, NHS Lothian has made income available to the IJB to cover this charge.

- 3.3 The NHS budget charge for 2016/17 included £10.4 m for what are called non cash limited functions (General Ophthalmic Services, General Pharmaceutical Services and General Dental services) These non-cash limited functions do not have budgets as such and the cost of delivering these functions is met in full by the Scottish Government. Therefore the IJB has no budgets for these services although they are delegated functions to the IJB and require to be reported as part of the 2016/17 out-turn. NHS Lothian has, accordingly, assumed income to cover the costs of these services.
- 3.4 East Lothian Council made an opening budget available to the IJB of £43.8m excluding the social care fund (which is included in the NHS Lothian values above). It's worth noting that the IJB's social care budget is not the same as the Council's Adult Wellbeing budget. Of the AWB budget, the supporting people budget (c. £0.8m) is not delegated to the IJB and, in addition to the remaining AWB budget an element of the Housing Revenue Account (HRA) is delegated to the IJB. In summary (based on the opening budgets) the position is as follows:-

	£000's
Opening AWB	43,498
Less -Supporting People	-800
Add -Private sector housing grant	256
Add – HRA	834
	<u>43,788</u>

As part of the Council's service review, welfare staff were moved from within the AWB budget to corporate services, this had the impact of Adjusting the IJB's budget by £125,000 giving a budget for the year of £43,663 (excluding the social care fund).

- 3.5 During the financial year, the forecast projected out-turn for 2016/17 for the Adult Wellbeing services indicated an overspend of c. £1.0m. At its meeting in December 2016 the Council cabinet agreed to an additional £1.0m to support the Adult Wellbeing budget.
- 3.6 The final net charge made by East Lothian Council to the IJB for 2016/17 is £44,277,000, and this includes a charge of £0.701m for the HRA. The HRA is ring-fenced, that is funds cannot be moved out of the HRA and therefore any HRA underspend is not available to the IJB. This has the effect of restating the IJB's position as follows:-

<u>2016/17 Outturn</u>	<u>Budget</u>	<u>Actual</u>	<u>Variance</u>
	£m	£m	£m
Social Care Services (excluding SCF)	42.829	43.576	-0.747
HRA	0.834	0.701	0.133
TOTAL	43.663	44.277	-0.614
<u>Adjusted 2016/17 Outturn</u>	<u>Budget</u>	<u>Actual</u>	<u>Variance</u>
	£m	£m	£m
Social Care Services (excluding SCF)	42.829	43.576	-0.747
HRA	0.701	0.701	0.000
TOTAL	43.530	44.277	-0.747

This means that, before any final adjustments, the IJB's social care budgets were overspent by £0.747m. However, additional funds were released by East Lothian Council from the earmarked reserve for drug and alcohol services and the remaining funds have been made available from within the £1.0m additional support to the adult wellbeing budget. The social care budgets of the IJB in 2016/17 have therefore broken even. The remaining element of the drug and alcohol reserve (c. £0.3m) will be carried forward by East Lothian Council on the IJB's behalf and will be available to the IJB in 2017/18

- .
- 3.6 The charges made by East Lothian Council to the IJB are the net direct costs incurred in the delivery of social care services in East Lothian. The charges from NHS Lothian are based on the health budget setting model as agreed by the IJB. That is, charges for the Core services are based on the net direct actual costs incurred in East Lothian but charges for hosted and set aside services are based on the total actual costs for these service shared across the IJBs per the budget setting model. East Lothian's share of the total actual costs incurred in 2016/17 for hosted services is 12% and, generally, 12% of the Lothian element of the set aside budgets.
- 3.7 That said, as expected, the IJB has broken even in 2016/17. However that breakeven position has been delivered through additional support from the partners of £1.649m being £0.595m from East Lothian Council and £1.054m from NHS Lothian.
- 3.8 The pressures driving these overspends fall into two broad areas :
- Significant overspends against the GP prescribing budget
 - A lack of delivery of efficiency schemes and recovery plans both within those services managed by the partnership and the services managed by other management teams within NHS Lothian.
- 3.9 These matters are addressed in the 2017/18 financial planning process in that the Partnership is considering a fundamental redesign of the

delivery of social care services for adults and the budget for GP prescribing has been reset at the closing position for 2016/17 with a more prudent financial model for 17/18. There remains a significant pressure from efficiency and recovery plans and this will be a key issue that the IJB will have to take assurance on during this financial year.

3.10 Social Care Fund

In 2016/17, the Scottish Government made available an additional £250m to Integration Authorities to support the delivery and development of social care services - called the Social Care Fund. This fund was required to support underlying pressures in social care including the delivery of the living wage for all staff who delivered social care and to provide 'additionality' in terms of transformation and further resources for social care services. The IJB has considered this matter on several occasions and at its meeting in December, having agreed to increase the resources available to support the living wage by c. £800,000 more than the opening estimate, laid out the following position :-

	£000's
Pressures etc	
Living Wage	1,300
Pay Awards etc	464
Other Pressures	<u>1,221</u>
Sub total	2,985
Additionality	
Thresholds	140
Project staff	100
Add'n packages etc	<u>1,145</u>
Sub total	1,385
Total	4,370

It will be recalled that the original position had been a 50/50 split of the use of the social care fund where 50% would go to pressures including the delivery of the living wage and 50% on additionality. As discussed above the IJB agreed to change this position and recognise that the delivery of the living wage – which is a key part of the delivery of its strategic plan – would cost more than the early indicative forecasts and the balance was changed. The above position reflects that change and the out-turn position for the social care fund is in line with the IJB's position.

2017/18 Update

3.11 At its March 2017 meeting the IJB accepted an indicative budget proposition from NHS Lothian in order to progress the issuing of Directions for 2017/18. NHS Lothian wrote to the IJB on 2nd May 2017 finalising its budget proposition for 2017/18. This letter proposes a value of £95.2m which is c. £140,000 greater than the indicative value and reflects some minor late changes to the NHSiL budget model.

The letter from NHS Lothian along with a proposed reply is attached as Appendix 1 and 2 to this report and the IJB is asked to support this response.

3.12 The report to the IJB in March 2017 also laid out the financial pressures that the financial assurance process had identified for 2017/18. It was noted that the total pressures identified were c. £3.8m of which plans had been developed for c. £3.3. This left c. £0.5m of pressures for which plans had not, at that time been identified. These pressures being c. £0.3m in the set aside services and c. £0.2m in social care services.

3.13 The letter responding to NHS Lothian's 2017/18 budget offer seeks further clarity around the set aside services. The Partnership management team is continuing to develop and action its efficiency schemes for 2017/18.

3.14 The IJB continues to work with its partners to develop a multi-year financial plan which will support the delivery of the Strategic Plan and also the redesign and transformation of services that underlie that plan.

3.15 In the longer term this will entail finalising the redesign of a new delivery model for the delegated functions and thus creating a 'future service model'. This model then requires to be fully costed to allow the IJB to compare the costs of its redesigned services against the budget that will be available to it.

3.16 In the short term, and as a key part of the path to that future position, the following areas require to be further developed :-

- Services directly managed by the Partnership should continue to move towards a fully integrated, multi-disciplinary team model. This has already been started and work continues.
- The 'our share' model for hosted services requires to be further developed. This would mean that the IJB's fair share of the hosted services' budget becomes available to the IJB and the IJB will use that resource to transform the delivery model for these services. Where appropriate a locally managed delivery model will be used and where a continuation of a pan lothian model is the agreed model, the IJB will work with partners to ensure that the service is sensitive to local needs and supports the delivery of the Midlothian Strategic Plan. In many areas Work is already underway to transform both pan Lothian Learning Disability and of Substance Misuse Services.

- The IJB needs to further understand the set aside services and to explore how these services could be delivered in a different way that is more community based. The IJB is working closely with NHS Lothian in this area and has indicated this in its directions.

4 POLICY IMPLICATIONS

- 4.1 This paper is covered within the policies already agreed by the IJB.

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 The implications for health inequalities or general equality and diversity issues arising directly from the issues and recommendations in this paper have yet to be assessed. Such issues will be the cornerstone of longer term planning to be undertaken beyond 2017/18, in partnership with the partners

6 RESOURCE IMPLICATIONS

- 6.1 Financial – discussed above.
6.2 Personnel – there are none.

7 BACKGROUND PAPERS

- 7.1 Previous reports to the IJB

AUTHOR'S NAME	David King
DESIGNATION	Chief Finance Officer
CONTACT INFO	David.king@nhslothian.scot.nhs.uk
DATE	21 June 2017

Chair and Chief Officer of IJB

Date 2 May 2017
Your Ref
Our Ref
Enquiries to Susan Goldsmith
Extension 35810
Direct Line 0131 465 5810
Email - Susan.Goldsmith@nhslothian.scot.nhs.uk

Dear Colleague

BUDGET AGREEMENT 2017/18 – EAST Lothian INTEGRATION JOINT BOARD (IJB)

Further to my letter of 10th February 2017 and the submission of NHS Lothian's Local Development Plan to the Scottish Government on 11th April 2017, I am now in a position to confirm the resource allocation for your IJB. Your total budget for 2017/18 is £95.2m.

In addition to the delegated budget shown as part of your financial plan, a further £1.76m will be passed through from Health directly to your IJB from the Social Care fund and is your IJB's share of the £14.2m which is part of NHS Lothian's base uplift. This will be in addition to the budget allocation above.

At this stage NHS Lothian is planning on the assumption that there will be no base uplift in 2018/19 and therefore the IJB budget allocation for next year will be in line with this year. However, recognition needs to be made that some of the funding sources for this year's financial plan are non recurring in nature and at this stage no guarantee can be given that this level of funding will be available in future years.

The budget allocation excludes a contribution from the £2m investment to support Primary Care. The utilisation of this fund will be determined through the Primary Care Board, co-chaired by Tracey Gillies and David Small. The allocation also excludes a contribution from the £2m investment to support a quality improvement approach to elimination of unwarranted variation and waste in Primary Care prescribing proposals. To take this forward proposals will be considered, and agreed, by the Effective Prescribing Group.

Finally the Scottish Government has funding available for investment in IJB delegated functions, and these will be allocated to IJBs once available. The level of this funding is not yet clear by Board/IJB.

The methodology for apportioning budgets and allocating uplift is summarised below:

- **GP Prescribing budgets** – This budget is set based on the estimated 16/17 expenditure. To be able to achieve this NHS Lothian has allocated £8.5m of non-recurring resource to the prescribing budgets. In recognition of future growth, NHS Lothian has laid aside £2m for pump priming of quality improvement prescribing initiative schemes to help manage the pressure referenced above;
- **Pay Uplift** – The importance of maintaining integrity of pay budgets has been recognised by the Board and the balance of the 17/18 uplift along with other recurring resources have been allocated across all recurring pay budgets to meet pay awards;
- **Primary Care Investment** – the £2m recurring Investment in Primary care included in the Financial Plan is still to be allocated across the partnerships and once agreed will form part of the in year adjustments to the budget, referenced above;
- **NRAC** – The additional 16/17 NRAC £6m and the anticipated 17/18 NRAC £19m parity funding have, along with recurring reserves, been allocated to those cost pressures previously agreed by the Board as a funding priority in the 16/17 Financial Plan but had only a non-recurrent funding solution to support them up to this point;
- **Social Care Fund** – The additional funding will be allocated as directed by the Scottish Government and does not form part of this budget allocation;
- **Efficiencies** - Chief Officers in their capacity as managers of NHS Lothian services have developed financial recovery plans to demonstrate how financial balance can be achieved for those services for which they have responsibility. IJBs will need to be assured that those recovery actions identified do not impact on their ability to deliver strategic direction. As plans are agreed this may result in the reallocation of budgets to reflect the consequent service change. This will be agreed with IJBs.

IJBs will be expected to deliver financial balance through their Directions to the Board and through the Partnerships, and working with Acute Services to reduce estimated expenditure on a recurring basis to deliver a balanced ongoing position across all delegated services of the IJB.

For 2016/17 NHS Lothian agreed with IJB Partners that a year end financial adjustment would be made, non recurrently, in order that the Health component of the IJBs budgets

would be able to deliver a balanced outturn. This has been achieved largely through the use of flexible resources in reserves which were explicitly not included in last year's plan.

However, NHS Lothian's reserves have already been deployed in the financial plan this year and as a consequence no further resources are available, with the exception of those referenced above. Therefore each IJB will be required to explicitly set out cost reduction plans through their directions in order to ensure the IJB can achieve a balanced outturn at the end of the year.

Performance Metrics

During the final quarter of 2016/17 NHS Lothian introduced a framework to measure performance under integration. This suite of measures will allow each Integration Authority's performance to be monitored and improvement opportunities identified. The development of this framework is seen as iterative and will be further refined and developed throughout the coming months and years and our expectation is that you will identify clear measures for these and work with Jim Crombie on monitoring of these.

To date, the performance framework has included data by each IJB on;

- Number of front door attendances & admissions – for the IJB
- Number of front door attendances & admissions – broken down by GP practice and referral type
- Front door inpatient conversion rate
- Analysis of the acuity of attendances
- Age profiling of front door attendances and admissions
- Performance against the 4 hour target
- Unplanned inpatient total occupied bed days
- No of delayed discharges vs. trajectory
- No. of packages of care against locally set trajectory
- Delayed discharges by length of delay
- Total occupied bed days for delayed discharges

The letter from Geoff Huggins received in January detailed plans to measure performance under integration at a national level. This added a further two measures that would be monitored for each IJB:

- End of life care
- Balance of care

Further work analysing each IJB performance over time will allow the development of improvement trajectories to support the delivery of the milestones set out by Scottish Government, and to deliver financial balance on the set aside budget.

Finally we have agreed that during 17/18 we should jointly revisit the cost model utilised to allocate set aside and hosted services budgets. This will consider the utilisation of the NRAC formula. I propose that we do not make any allocation formula changes in 17/18 but plan to implement in 18/19.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Susan Goldsmith'.

Susan Goldsmith
Director of Finance



By Email Only

Mrs Susan Goldsmith
Director of Finance
NHS Lothian
Waverley Gate

Date

Dear Mrs Goldsmith,

BUDGET AGREEMENT 2017/18 – EAST LOTHIAN INTEGRATION JOINT BOARD (IJB)

Thank you for your letter of 2 May 2017.

At its March 2017 meeting I presented an indicative NHS Lothian budget to the IJB for 2017/18 as part of the process of agreeing the overall IJB budget. This indicative value was based on the latest iteration of the NHSiL financial plan and is only c. £140,000 different from the budget in your letter which is, simply the product of a few further minor adjustments. This difference is clearly not material. The IJB is content to accept this budget and grateful for the support that the Health Board has given and continues to give to the IJB around the budget setting process.

I note your comments around the further investments in primary care, GP prescribing support programmes, the second tranche of the social care fund and any further Scottish Government investments

The IJB's Integration Scheme lays out a model for financial management which, in effect, expects a break-even position. I appreciate that NHS Lothian has no further resources but the IJB is not, as you know, an operational unit with its own management capacity and I am anxious about resolving financial issues outwith the Partnership's direct control. I would be grateful for further

discussion as to how the IJB and NHSiL can work together to support financial delivery in both set aside and other budgets outwith the partnership. It would be useful, therefore, to get an early detailed understanding of the financial pressures projected in the current financial plan against the set aside budgets.

Of course what will help to resolve a range of financial management issues is a clearer understanding of the IJB's use of the pan-Lothian resources, as you discuss in your letter. I would support a detailed analysis of the use by the IJB of the set aside beds (and other acute services as appropriate) and the hosted services. This can become part of the more thorough review of the IJB health budget setting model as we now need to move towards a proposition for the IJBs in Lothian as to what constitutes a fair share of the Lothian resources for delegated functions for each IJB. I am copying this response to the Chief officers in the other Lothian IJBs in that we will all have to work together to finalise an appropriate resource sharing mechanism. I am happy to support your proposal that any changes to the current model suggested by this work are not actioned until 2018/19.

I also appreciate your concern around the performance targets for each IJB as indicated by the recent Scottish Government letter. It is important to recognise that the IJB has set targets along the lines of the Scottish Government's recommendations which are encapsulated in the IJB's directions to NHS Lothian and I'm pleased that NHS Lothian is developing performance systems that will allow the IJB to understand if NHS Lothian is delivering against these targets. That said, such delivery is, like everything else the IJBs undertake, a partnership between the IJB(s) and NHS Lothian and we need to be clear as to how this partnership will work in operational terms, especially considering that this financial year is now nearly three months old.

The other issue the IJBs are keen to drive forward is that of a multi-year financial plan. I appreciate your comments around the proposed position for 18/19 and it would also be useful to consider how we might work together to develop a financial plan for future years. In principle, NHSiL would indicate to the IJB the resources available to it in future years and the IJB would then decide how to deploy these resources to deliver its strategic plan. However, this may be very difficult to do in practice, especially in the next couple of years and we need to consider how to best drive this change in the financial planning process forward.

In terms of in year budget setting and management, I would appreciate your thoughts on how we can reflect any changes to the IJB's budget arising from further SG allocations. It would be useful to know what the current assumptions on SG allocations are in the base budget and how we will ensure that the IJB receives its share of any in-year allocations that support delegated functions.

We have set up meetings to discuss these finance issues between the IJBs and NHSiL and I am keen that we get the matters discussed above on the agenda for these meetings.

Yours sincerely,

David Small
Chief Officer

On behalf of East Lothian Integration Joint Board



REPORT TO: East Lothian Integration Joint Board
MEETING DATE: 29 June 2017
BY: Chief Internal Auditor
SUBJECT: Internal Audit Opinion and Annual Report 2016/17

8

1 PURPOSE

- 1.1 The Public Sector Internal Audit Standards (PSIAS) require that the Chief Internal Auditor prepares an annual internal audit opinion and report that can be used by the Integration Joint Board (IJB) to inform its governance statement.
- 1.2 The purpose of this report is to inform the Board of the internal audit work undertaken in 2016/17 and to provide an opinion on the overall adequacy and effectiveness of the IJB's framework of governance, risk management and control.

2 RECOMMENDATION

- 2.1 The Integration Joint Board is asked to note that the Internal Audit Opinion and Annual Report 2016/17 is a formal confirmation of Internal Audit's opinion on the overall adequacy and effectiveness of the IJB's framework of governance, risk management and control for the period ended 31 March 2017.

3 BACKGROUND

Sound Internal Controls

- 3.1 The IJB's senior management has responsibility for establishing a sound system of internal control and for monitoring the continuing effectiveness of these controls. The main objectives of internal control systems are:
 - Achievement of the IJB's strategic objectives.
 - Reliability and integrity of financial and operational information.
 - Effectiveness and efficiency of operations and programmes.
 - Safeguarding of assets.
 - Compliance with laws, regulations, policies, procedures and contracts.

- 3.2 A sound system of internal control reduces, but cannot eliminate, the possibility of poor judgement in decision making, human error, control processes being deliberately circumvented by employees and others, management overriding controls or the occurrence of unforeseen circumstances. The IJB is continually seeking to improve the effectiveness of its system of internal control.

Quality Assurance and Improvement Programme (QAIP)

- 3.3 The Public Sector Internal Audit Standards (PSIAS) require that the annual report must incorporate a statement on Internal Audit's conformance with the PSIAS and the results of the Quality Assurance and Improvement Programme (QAIP) that covers all aspects of the internal audit activity. This is to ensure that internal audit complies with the PSIAS and produces audit work of an appropriate quality.

Internal Audit is continuously seeking to improve its service and aims to provide a service that remains responsive to the needs of the IJB and maintains consistently high standards. This was achieved in 2016/17 through the following processes:

- Compliance with PSIAS.
- A tailored audit approach using a defined methodology for financial audits.
- A programme of quality control measures which include the supervision of staff conducting audit reviews and the detailed review of working paper files and audit reports.
- The development of personal and training plans – Internal Audit staff members are required to undertake a programme of Continuous Professional Development (CPD).

- 3.4 The QAIP is designed to enable evaluation of Internal Audit's conformance with the Definition of Internal Auditing, the Code of Ethics and the Standards. The QAIP must include both internal and external assessments. An internal assessment of internal audit practices was carried out against the PSIAS to ensure conformance to the Standards.

Delivery of the Internal Audit Service

- 3.5 Internal Audit is an independent appraisal function established by the IJB to objectively examine, evaluate and report on the adequacy of governance, risk management and control systems. The provision of the Internal Audit service to the IJB is on an in-house basis by East Lothian Council's Internal Audit Unit which is comprised of the Chief Internal Auditor, three Senior Auditors and one Senior Audit Assistant.
- 3.6 The PSIAS state that internal auditors must possess the knowledge, skills and competencies needed to perform their individual responsibilities and encourages auditors to demonstrate their proficiency by obtaining appropriate professional certifications and qualifications. The Chief

Internal Auditor and the three Senior Auditors are CCAB qualified. The Senior Audit Assistant is part qualified.

- 3.7 The Chief Internal Auditor reports functionally to the Audit and Risk Committee and has direct access to Senior Management, the Chair of the Audit and Risk Committee and the Chair of the IJB.
- 3.8 In March 2016 the Audit and Risk Committee approved the Internal Audit Plan for 2016/17. Our audit plan was scoped to address the key risks and objectives of the IJB. In 2016/17 Internal Audit issued reports on the Financial Assurance Process 2016/17 and on the Social Care Fund. In addition one audit review (Performance Management) is currently being finalised and one audit review (Directions) is ongoing. The audit of Directions is being carried out by the NHS Lothian Internal Audit team. At the time of preparing this report the audit work was in progress and my opinion does not cover any findings from this audit.
- 3.9 Internal Audit findings identifying system weaknesses or non-compliance with expected controls were brought to the attention of the IJB's Chief Officer, Chief Finance Officer, External Auditor and the Audit and Risk Committee. The weaknesses outlined are those that have come to our attention during the course of our normal audit work and are not necessarily all of the weaknesses, which may exist. It is the responsibility of Management to ensure that proper consideration is given to internal audit reports and that appropriate action is taken on audit recommendations.

Conflicts of Interest

- 3.10 There have been no instances during the year which have impacted on our independence and/or lead us to declare any interest.

Assessment of Controls and Governance

- 3.11 My evaluation of the IJB's control environment is informed by a number of sources including statutory and other compliance:
- Integration Scheme – an East Lothian Integration Scheme is in place and sets out how the IJB will operate, including the scope of the services to be included within the IJB and the financial arrangements.
 - Membership – membership of the IJB is in accordance with the Integration Scheme.
 - The IJB has in place approved Standing Orders and Financial Regulations.
 - Committees – the IJB has established an Audit and Risk Committee. The terms of reference of the Audit and Risk Committee cover the IJB's governance, risk and control; internal audit; external audit; financial reporting and accountability arrangements.
 - Strategic Plan – the IJB has formally adopted a Strategic Plan.
 - Officers – appropriate officers (Chief Officer and Chief Finance Officer) with responsibility for maintaining and operating an effective system of internal control are in place.

- Code of Conduct for Members of the IJB.
- The work undertaken by Internal Audit during 2016/17.

Operational matters covered by IJB directions and which are undertaken on behalf of the IJB by either East Lothian Council or NHS Lothian are outwith the scope of the annual audit plan and this audit opinion.

3.12 During 2016/17, areas identified with scope for improvement included the following:

- The lack of a clear audit trail to monitor the actual expenditure incurred to date for certain categories of the social care fund (£4.37 million).
- The need to ensure that the performance management framework is fully developed and clearly sets out how the IJB will measure performance against the Strategic Plan, identify areas where improvements are required and demonstrate to stakeholders the benefits that are being delivered.
- The risk register in place requires review to ensure that it includes all ongoing and emerging risks facing the IJB including those identified as part of the financial assurance process. The register should clearly set out the additional controls and measures to manage the risks identified and meet the desired risk targets.
- The progress that requires to be made on Participation and Engagement and the Workforce Development and Support Plan, to ensure compliance with the Integration Scheme.
- The issues identified in the internal audit review of the financial assurance process for 2016/17.

3.13 The implementation by Management of agreed actions to address the weaknesses identified should provide assurance that the system of internal control is operating as intended.

Opinion

3.14 It is my opinion, subject to the weaknesses outlined in section 3.12 above, that reasonable assurance can be placed on the overall adequacy and effectiveness of the IJB's framework of governance, risk management and control for the period to 31 March 2017.

4 POLICY IMPLICATIONS

4.1 None

5 INTEGRATED IMPACT ASSESSMENT

5.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

6 RESOURCE IMPLICATIONS

6.1 Financial - None

6.2 Personnel - None

6.3 Other – None

7 BACKGROUND PAPERS

7.1 None

AUTHOR'S NAME	Mala Garden
DESIGNATION	Chief Internal Auditor
CONTACT INFO	01620 827326
DATE	21 June 2017



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 29 June 2017

BY: Chief Finance Officer

SUBJECT: Draft Annual Accounts 2016/17

9

1 PURPOSE

- 1.1 This report brings together the elements required to present for approval the draft annual accounts for the IJB for the year ending 31 March 2017. This includes the Annual Governance statement for the IJB which itself forms part of the IJB's annual accounts.

2 RECOMMENDATIONS

The IJB is asked to:

- 2.1 Approve the Annual Governance Statement.
- 2.2 Approve the draft Annual Accounts for 2016/17

3. BACKGROUND

- 3.1 The IJB is constituted under section 106 of the local government (Scotland) Act and as such must prepare a set of annual accounts. These accounts must be presented in draft for approval to either the IJB or a committee of governance of the IJB by 30 June whereupon the accounts will be presented for audit by the IJB's auditors.
- 3.2 As part of this process the IJB's Chief Internal Auditor will prepare a report for the IJB presenting their opinion on the governance of the IJB. This report has now been presented to the IJB earlier in the agenda.
- 3.3 This Audit Opinion identifies a number of governance issues that require to be addressed – these are discussed further in the Annual Governance Statement – but the audit opinion shows that overall the

IJB's framework of governance, risk management and control is adequate

- 3.4 An Annual Governance Statement must also be prepared as part of the annual accounts. This is attached as Appendix 1 for convenience but is also part of the annual accounts. This statement must lay out the governance of the IJB and provide an action plan for addressing any governance issues identified. The IJB is required to approve the AGS.
- 3.5 These matters having been done, the IJB is then asked to approve the draft annual accounts which are then passed to the IJB's external auditors for review. These are attached as Appendix 2.
- 3.6 The annual accounts contain a range of sections but break down into three main areas:-
 - The Management Commentary. This provides a statement of the IJB's purpose and its performance against that purpose in the financial year along with a reflection on the challenges facing the IJB in the next financial year.
 - The Annual Governance Statement – as discussed above
 - A range of financial statements showing the financial position of the IJB. These show that the IJB has broken-even in 2016/17
- 3.7 The IJB is asked to approve this outline schedule reflecting on the Management commentary, the AGS and that the financial statements will show a break-even position for the IJB.

4 POLICY IMPLICATIONS

- 4.1 This paper is covered within the policies already agreed by the IJB.

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 The implications for health inequalities or general equality and diversity issues arising directly from the issues and recommendations in this paper have yet to be assessed. Such issues will be the cornerstone of longer term planning to be undertaken beyond 2017/18, in partnership with the partners

6 RESOURCE IMPLICATIONS

- 6.1 Financial – discussed above.
- 6.2 Personnel – there are none.

7 BACKGROUND PAPERS

7.1 None

AUTHOR'S NAME	David King
DESIGNATION	Chief Finance Officer
CONTACT INFO	David.king@nhslothian.scot.nhs.uk
DATE	21 June 2017

Annual Governance Statement – 2016/17

East Lothian IJB is responsible for ensuring that its business is conducted in accordance with the law and proper standards. This is to allow public funds at its disposal to be safeguarded and used efficiently and effectively in pursuit of best value.

Board members including the Chief Officer and Chief Finance Officer are responsible for the governance of the business affairs of East Lothian IJB. This includes:

- setting the strategic direction, vision, culture and values of the IJB;
- establishing appropriate and cost effective systems, processes and internal controls to allow the strategic objectives to be delivered.

It should be noted that development work continues on the risk management process and the whistle-blowing and fraud prevention procedures and processes. East Lothian IJB's financial management arrangements conform to the requirements of the CIPFA Statement on the role of the Chief Financial Officer in Local Government. The Chief Finance Officer has overall responsibility for the IJB's financial arrangements and is professionally qualified and suitably experienced.

In discharging this responsibility, the Chief Officer has put in place arrangements for governance which includes the system of internal control. This is designed to manage risk to a reasonable level, but cannot eliminate the risk to failure to achieve policies, aims and objectives and can therefore only provide reasonable but not absolute assurance of effectiveness.

The IJB is responsible for conducting each financial year, a review of the effectiveness of its governance framework, including risk management and the systems for internal control and financial control. The review of the effectiveness of the IJB's governance framework is informed by:

- the work of the IJB, the Strategic Planning Group and the Audit & Risk Committee;
- the Chief Internal Auditor's annual report which is based on internal audit work completed during the year; and
- reports from other external review bodies, agencies and inspectorates.

These assessments did not highlight any issues that would impact on the level of effectiveness of the IJB's governance framework. However, a number of improvements were identified and are discussed in the action plan below. This is the second year of the IJB's operation and the first year in which the IJB has managed its financial allocations and there issues are still being developed.

These are addressed below.

The statement has also been informed by the work undertaken by Internal Audit who, following the requirements of the Local Authority Accounts (Scotland) Regulations 2014, conducted an annual review of the effectiveness of the IJB's system of internal control. The Chief Internal Auditor has responsibility for the IJB's Internal Audit function and reports functionally to the Audit and Risk Committee to allow appropriate independence. The Chief Internal Auditor is professionally qualified and suitably experienced to lead and direct the Internal Audit team. The Internal Audit service generally operates in accordance with the Public Sector Internal Audit Standards.

The Chief Internal Auditor concluded that subject to weaknesses identified, reasonable assurance can be placed on the overall adequacy and effectiveness of the IJB's framework of governance, risk management and control for the period from 1 April 2016 to 31 March 2017. These improvements are reflected within the action plan detailed below.

The results from these reviews were presented to the June 2017 IJB with the Annual Governance Statement for approval.

Statutory and Other Compliance

East Lothian IJB (the 'Board') has secured compliance with statutory and other requirements, as follows:

- **Membership** - its minimum membership (voting and non-voting) is set by statutory instrument, with the power to appoint additional members as it sees fit. The Board's membership is fully populated;
- **Standing Orders** - the Board is required by statutory regulations to have Standing Orders to regulate its business, with some aspects stipulated in those regulations. Standing Orders were adopted at the inaugural meeting, complying with statutory requirements;
- **Committees** - the Board has established an Audit & Risk Committee with a detailed remit, powers, and with the membership clearly defined. This complies with statutory requirements and with the Board's Standing Orders;
- **Meetings** - the Standing Orders adopted by the Board allow the public to have prior access to meeting agendas and reports, and to attend meetings of the Board and its committees - except in clearly defined and limited circumstances;
- **Strategic Plan** - the Board established its Strategic Planning Group as required by legislation, with Terms of Reference approved by the Board covering membership, meetings and meetings procedures;
- **Officers** - the Board appointed a Chief Officer and a Chief Finance Officer as

required by the legislation. The Board has also appointed a Standards Officer (the Chief Officer) in relation to its statutory Code of Conduct for Members. A Chief Internal Auditor has been appointed to carry out the Board's internal audit requirements and assist its Audit and Risk Committee;

- **Finance** - the Board received reports in relation to financial assurance prior to the setting of budgets (for 2016/17) for the integrated functions by East Lothian Council and NHS Lothian. It adopted Financial Regulations in relation to the conduct of its financial affairs, the maintenance of its accounting and financial records, and its annual accounts and financial statements; and
- **Code of Conduct** - The IJB approved and adopted its first draft Code on 19 October 2015 and agreed to submit the draft to Scottish Ministers for final approval. The Code was amended due to legislative changes in 25 February 2016. A further revised draft agreed by the IJB on 8 June 2016 following revisions in the template supplied by the Scottish Government. At the IJB's meeting on 25 August 2016, the Chief officer advised members that this latest version of the Code had been approved by the Scottish Government. A register of members interests has been prepared and is available for inspection.

Action Plan

Through the Board and the Audit and Risk Committee, further work will be progressed and will be carried out in relation to governance of these particular aspects of the Board's statutory duties and powers:

Areas for Improvement identified in 2016/17	Action undertaken 2016/17
<p>Financial Assurance Finalisation of the 2016/17 financial assurance process including a formal offer of financial resources from NHS Lothian</p>	<p>At its March 2016 meeting the IJB accepted the East Lothian Council budgetary offer and an indicative offer from NHS Lothian. NHS Lothian's formal financial allocation offer for 2016/17 was received on 14 June 2016. The final financial assurance for 2016/17 was presented to the IJB at its August meeting. The IJB agreed to the proposed budget.</p>
<p>Three year financial plan The financial plan that underpins the IJB's Strategic Plan should cover a three year period</p>	<p>Although NHS Lothian have only made an offer for one year, East Lothian Council have made a three year indicative position. The 2017/18 budget is also a one year settlement however this is now being addressed in 2017/18 as part of the future budget setting process</p>

<p>Financial Risk Sharing Completion of a financial risk sharing agreement between the IJB and its partners</p>	<p>The 2016/17 financial risk sharing was agreed. NHS Lothian agreed to cover the health elements of the IJB's budget and East Lothian Council made an additional £1.0m available to cover any overspends within the social care element of the IJB's budget</p>
<p>Support to the IJB from the partners Finalisation of the actions requiring to be undertaken by the partners to support the IJB as laid out in the IJB's integration scheme</p>	<p>A range of matters have been progressed :-</p> <ul style="list-style-type: none"> • Additional staffing to support for the IJB's planning team. • Support from NHS Lothian Internal Audit team to the IJB's CIA • Support for the delivery of performance and activity information from NHS Lothian • Support to prepare an IJB risk register • Redesign of the NHS Strategic Planning group and NHS Finance and performance group to reflect the responsibilities of the IJB. • Agreement to an whole Lothian system Internal Audit report sharing mechanism – that is all four councils, NHS Lothian and all four IJBs • Representation of the IJB on NHS Lothian's clinical governance committee
<p>Performance management Further development of the performance management framework for the IJB</p>	<p>The IJB is continuing to work with its partners to agree and implement a system of performance management (including financial performance). Detailed reports were presented to the IJB at its meetings in August 2016 and February 2017. Further reports will be presented to the IJB in 2017/18</p>

<p>Risk management Further developments in the risk management system for the IJB.</p>	<p>A draft proposal and risk register was submitted to the IJB's Audit and Risk Committee on 23 March 2016 with a further report along with an updated risk register which was presented to the Audit and Risk Committee on 21 June 2016. The risk register continues to be developed and has been presented to the Audit and Risk Committee at each of its meeting in 2016/17.</p>
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<p>Area for Improvement identified in 2016/17</p>	<p>Actions to be undertaken</p>
<p>Use of the Social Care Fund A lack of a clear audit trail to monitor the actual social care fund (£4.37 million) expenditure incurred to date for certain categories of spends.</p>	<p>A range of reports regarding the SCF were made to the IJB in 2016/17 a final report will be made to the IJB meeting of June 2016. This report shows that the expenditure on the SCF was in line with the IJB's agreement with East Lothian Council</p>
<p>Performance Management The need to ensure that the performance management framework is fully developed and clearly sets out how the IJB will measure performance against the Strategic Plan, identify areas where improvements are required and demonstrate to stakeholders the benefits that are being delivered</p>	<p>This work continues supported by the IJB's partners and a reporting mechanism has been agreed with further development work in train. Reports were presented to the IJB at its meetings in August 2016 and February 2017.</p>
<p>Risk Register The risk register in place requires review to ensure that it includes all ongoing and emerging risks facing the IJB including these identified as part of the financial assurance process. The register should clearly set out the additional controls and measures to manage the risks identified and meet the desired risk targets.</p>	<p>The IJB's risk register was presented to the meeting of the IJB's Audit and Risk committee in 2016/17. It is being reviewed and updated and work is underway with both NHS Lothian and the other IJBs in the Lothians to ensure that there are all the risk are appropriately covered.</p>

<p>Participation, engagement and the workforce development plan</p> <p>Progress that requires to be made on Participation and Engagement and the Workforce Development and Support Plan, to ensure compliance with the Integration Scheme</p>	<p>The IJB has continued to engage both its partners and, more importantly the public which its services. Regular updates and briefings are provided on the IJB's website and the IJB has undertaken a second 'big conversation' to engage with the public. The IJB is working with its partners to develop a workforce plan</p>
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On the basis of the IJB's assurance system, and the elements of governance at its disposal, we are satisfied that overall, East Lothian IJB's systems of internal control, risk management and governance arrangements are of a satisfactory standard. We are aware of areas where improvements are required and steps will be taken in the forthcoming year to address these areas, allowing the IJB to advance its corporate governance arrangements and seek continuous improvement.

Signed:

Chair of the IJB and David Small, Chief Officer

Date:



East Lothian Integration Joint Board

Draft Annual Accounts 2016/17

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Audit Arrangements

Under arrangement approved by the Accounts Commission of Local Authority Accounts in Scotland, the auditor with responsibility for the audit of the accounts of East Lothian Integration Joint Board for the period 1st April 2016 to 31st March 2017 is Audit Scotland, 102 West Port, Edinburgh EH3 9DN

Management Commentary

The Role and Remit of the IJB

The Public Bodies (Joint Working) Act (2014) directs the creation of an Integration Authority for East Lothian to which a range of functions are to be delegated by NHS Lothian Board and East Lothian Council (the 'partners'). East Lothian Integration Joint Board (IJB) was created pursuant to section 1(4)(a) of the Act being a body corporate. The IJB is constituted through its Integration Scheme which was prepared by East Lothian Council and NHS Lothian and presented to Scottish Ministers in March 2015. The Integration Scheme was approved by the Scottish Parliament in June 2015 and the first meeting of the IJB took place on 1 July 2015.

The IJB is governed by the Local Government Scotland Act (1973) along with the 2014 regulations and these accounts are prepared on that basis.

These accounts cover the period from 1st April 2016 to 31st March 2017.

The IJB met 10 times during the financial year 2016/17 and the members of the IJB in March 2017 were as follows:-

Member	Nominated/Appointed by	Role
Donald Grant	Nominated by East Lothian Council	Voting Member, Chair
Mike Ash	Nominated by NHS Lothian	Voting member, Vice Chair
Shamin Akhtar	Nominated by East Lothian Council	Voting Member
Jim Goodfellow	Nominated by East Lothian Council	Voting Member
Stuart Currie	Nominated by East Lothian Council	Voting Member, Chair of Audit and Risk Committee
Alex Joyce	Nominated by NHS Lothian	Voting Member
Peter Murray	Nominated by NHS Lothian	Voting Member
Fiona Ireland	Nominated by NHS Lothian	Voting Member
David Small	Appointed by the IJB	Chief Officer
David King	Appointed by the IJB	Chief Finance Officer
Fiona Duncan	Nominated by East Lothian Council	Chief Social Worker
Alison MacDonald	Nominated by NHS Lothian	Chief Nurse/Head of Older People and Access
Andrew Flapan	Nominated by NHS Lothian	Consultant
Jon Turvill	Nominated by NHS Lothian	Clinical Director
Richard Fairclough	Appointed by the IJB	General Practitioner
Thomas Miller	Appointed by the IJB	NHS Staff Representative
Andrew Wilson	Appointed by the IJB	ELC Staff Side Representative

Margaret McKay	Appointed by the IJB	User/Carer representative
Eliot Stark	Appointed by the IJB	Voluntary Sector Representative
Sharon Saunders	Appointed by the IJB	Head of Adult and Childrens Services
Marilyn McNeill	Appointed by the IJB	User representative

Note – all members, except those indicated above as voting members, are non-voting members

The IJB's Operations for the Year

2016/17 was the first year in which the IJB received financial resources ('budget') to support the delivery of its delegated functions. These resources were made available by NHS Lothian and by East Lothian Council as described in the Integration scheme. The financial models to generate the IJB's budget were proposed by East Lothian Council and NHS Lothian and agreed by the IJB as part of its financial assurance process.

At its March 2016 meeting, the IJB agreed the budget proposed by East Lothian Council which was based on the budget agreed by the Council for its social work services at the Council meeting in February 2016. East Lothian Council refer to their adult social care services as 'adult wellbeing' but this council budget is not directly allocated to the IJB as some of the services have not been delegated and, in addition, some functions funded through the housing revenue account ('HRA') are delegated to the IJB. The adjustments are as follows:-

	£000's
Opening AWB	43,498
Less -Supporting People	-800
Add -Private sector housing grant	256
Add – HRA	834
	<u>43,788</u>

The IJB also agreed an indicative budget from NHS Lothian based on outline values presented to the IJB as part of the overall NHS Lothian budget setting process. Having agreed these budget propositions this budget was the basis of the directions which the IJB issued to NHS Lothian and East Lothian Council in line with the IJB's agreed directions policy in March 2016.

NHS Lothian formally proposed a budget in June 2016; the IJB undertook a further financial assurance process and accepted that budget at its August meeting. The IJB's budget from both NHS Lothian and East Lothian Council has been subject to changes during the financial year. East Lothian Council had carried forward resource on behalf of its social care from 2015/16 and released these resources to the IJB as required during 2016/17. NHS Lothian both continued to revise its health budget

setting model in collaboration with the IJB and also received further allocations from the Scottish Government in year. Some of the further Scottish Government in year allocations supported delegated functions with the budgets being made available to the IJB.

During the financial year 2016/17, the IJB had a financial risk sharing agreement with its partners – East Lothian Council and NHS Lothian. In essence this agreement was that any health overspends against the IJB’s budgets would be covered by NHS Lothian and East Lothian Council made an additional £1.0m available to cover overspends in the social care budgets

The IJB’s Position at 31st March 2017

For the year ending 31st March 2017, the IJB has broken even. That is the costs incurred in delivering the IJB’s functions by East Lothian Council and NHS Lothian are equal to the income that the IJB received from NHS Lothian and East Lothian Council. This is in line with the risk sharing agreement referred to above.

The charges for the delivery of the delegated functions by the partners are East Lothian Council (net) - £44.277m and NHS Lothian (net) - £109.596m.

It should be noted that the charge from NHS Lothian includes the notional IJB share of the ‘non-cash limited’ services being General Ophthalmic Services, General Pharmaceutical Services and General Dental services.

The non-cash limited functions do not have budgets as such and the cost of delivering these functions is met in full by the Scottish Government. Therefore the IJB has no budgets for these services, although they are delegated functions to the IJB and require to be reported as part of the 2016/17 out-turn. NHS Lothian has, accordingly, assumed income to cover the costs of these services.

The charges made by East Lothian Council to the IJB are the net direct costs incurred in the delivery of the delegated social care services in East Lothian.

The charges from NHS Lothian are based on the health budget setting model as agreed by the IJB. That is, charges for the core services (those services specifically for and delivered by the East Lothian partnership are based on the net direct actual costs incurred in East Lothian. However, charges for hosted and set aside services (those services which are not generally managed by the East Lothian Partnership and are delivered on a pan-Lothian basis) are based on the total actual costs for these service shared across four IJBs per the budget setting model. The IJB share of the total actual costs incurred in 2016/17 for hosted services is 12% and, generally, 12% of the Lothian element of the set aside budgets.

In 2016/17 per the risk sharing agreements both East Lothian Council and NHS Lothian have made additional, non-recurrent resources available to the IJB as follows :-

	ELC	NHSiL
	£m	£m
Opening Budget	43.79	86.83
Social Care Fund		4.37
Add'n budget in year	0.152	6.93

Adj to AWB budget	-0.125	
2016/17 budget	43.82	98.13
Non Cash Limited		10.41
Adj for HRA	-0.133	
Additional n/r Support	0.595	1.05
Net charge to IJB	44.28	109.60

This shows that, even having adjusted the IJB's budgets and releasing further resources per the integration scheme, the partners provided the IJB with an additional, non-recurrent £1.6m to allow it to break-even.

The Integration scheme is clear that the partners will provide corporate and other support to the IJB as required and will not charge for these services. These costs are not, therefore, included above.

East Lothian Council is carrying forward (from 2016/17 to 2017/18) £0.3m on behalf of the IJB in line with its previous policies. These funds will be available to the IJB in 2017/18.

The IJB's Strategy and Business Model

The IJB's remit and goals are laid out in the IJB's Strategic Plan. These are in line with the Scottish Government's national outcomes and will be delivered through:-

- Shifting the balance of care to provide more care delivered at home or in a homely setting rather than in hospital or other institutions
- Ensuring care is person centred, with a focus on the individual and not just specific health and social care needs
- Further improving the joined up approach to working across professions and bodies delivering health and social care functions
- Ensuring citizens, communities and staff involved in providing health and social care services will have a greater say in how these services are planned and delivered.

The Strategic Plan, having been consulted on as required by the regulations, was agreed by the IJB at its meeting in November 2015.

The IJB issued directions to East Lothian Council and NHS Lothian for the financial year 2016/17 in March 2016 based on an indicative budgetary position as described above in line with the IJB's policy on directions.

The IJB's long term plan is to redesign the delivery of the functions delegated to it in order to:-

- Increase capacity – to manage the pressures resulting from an aging and increasing population

- Improve the quality of care – by supporting a more individual centered, holistic approach
- Reduce the costs of the delivery of the functions in line with the projected reduction in the financial resources available to the IJB.

Key Risks and Uncertainties

The challenge for the IJB is to transform the delivery of its delegated functions whilst supporting the delivery of financial balance with an (in real terms) reduction in the financial resources available. There remain a series of uncertainties:-

1. The local elections in May 2017 changed the membership of the IJB and this may cause issues with continuity of both knowledge and purpose
2. It remains difficult for the partners to recruit elements of the workforce to deliver the IJB's functions, e.g. GPs, District Nurses and Care workers.
3. The increasing population in East Lothian remains a challenge which may exacerbate the staffing pressures above.
4. The financial position for the UK and Scotland remains uncertain and this will provide a challenge to the amount of financial resources available to the IJB

Analysis of the Financial Statements

The financial statements are all presented on a net basis.

Income and Expenditure

As was discussed above, the partners provided additional non-recurrent resources to support the IJB's position in year. The pressures driving these overspends fall into two broad areas:

- Significant overspends against the GP prescribing budget
- A lack of delivery of efficiency schemes and recovery plans both within those services managed by the partnership and the services managed by other management teams within NHS Lothian.

Each of these pressures is being addressed by management and actions are detailed in the IJB's financial plan for 2017/18

Balance Sheet

Given that the IJB has broken even in 2016/17 and that there are no outstanding balances either carried into this financial year nor brought forward into future years, (the IJB has no assets per its Integration Scheme) there are no entries in the IJB's balance sheet for 2016/17.

Reserves

The IJB has no reserves at the end of 2016/17. However, as noted above, East Lothian Council has carried forward resources that will be made available to the IJB in 2017/18.

Peter Murray
IJB Chair

David Small
Chief Officer

David King
Chief Finance Officer

Statement of Responsibilities

Responsibilities of the Integration Joint Board

The Integration Joint Board is required to:

- Make arrangements for the proper administration of its financial affairs and to secure that the proper officer of the board has responsibility for the administration of those affairs (section 95 of the Local Government (Scotland) Act 1973). In this authority, that officer is the chief financial officer.
- Manage its affairs to secure economic, efficient and effective use of resources and safeguard its assets.
- Ensure the Annual Accounts are prepared in accordance with legislation (The Local Authority Accounts (Scotland) Regulations 2014), and so far as is compatible with that legislation, in accordance with proper accounting practices (section 12 of the Local Government in Scotland act 2003).
- Approve the Annual Accounts.

I confirm that these Annual Accounts were approved for signature at a meeting of the Audit & Governance Committee on 7 September 2017

Signed on behalf of East Lothian Integration Joint Board

Peter Murray
Chair

Responsibilities of the Chief Financial Officer

The chief financial officer is responsible for the preparation of the IJB's Annual Accounts in accordance with proper practices as required by legislation and as set out in the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom (the Accounting Code).

In preparing the Annual Accounts, the chief financial officer has:

- Selected suitable accounting policies and then applied them consistently
- Made judgements and estimates that were reasonable and prudent

- Complied with legislation
- Complied with the local authority Code (in so far as it is compatible with legislation).

The chief financial officer has also:

- Kept proper accounting records which were up to date
- Taken reasonable steps for the prevention and detection of fraud and other irregularities.

I certify that the financial statements give a true and fair view of the financial position of the East Lothian Integration Joint Board as at 31 March 2017 and the transactions for the year then ended.

David King
Chief Finance Officer

Remuneration Report

Introduction

This Remuneration Report is provided in accordance with the Local Authority Accounts (Scotland) Regulations 2014. It discloses information relating to the remuneration and pension benefits of specified IJB members and staff.

The information in the tables below is subject to external audit. The explanatory text in the Remuneration Report is reviewed by the external auditors to ensure it is consistent with the financial statements.

Remuneration: IJB Chair and Vice Chair

The voting members of the IJB are appointed through nomination by East Lothian Council and NHS Lothian Board. Nomination of the IJB Chair and Vice Chair post holders alternates between a Councillor and a Health Board representative.

The IJB does not provide any additional remuneration to the Chair, Vice Chair or any other board members relating to their role on the IJB. The IJB does not reimburse the relevant partner organisations for any voting board member costs borne by the partner. Neither the Chair nor the Vice Chair appointments had any taxable expenses paid by the IJB in 2016/17.

The IJB does not have responsibilities, either in the current year or in future years, for funding any pension entitlements of voting IJB members. Therefore no pension rights disclosures are provided for the Chair or Vice Chair.

NHS Lothian remunerates its non-executive members on a notional day basis. Those non-executive members of the NHS Lothian Board who are also Chairs or Vice Chairs of IJBs are given an additional notional day's remuneration in recognition of the additional time required to undertake those roles. Mike Ash, as a non-executive member of NHS Lothian Board who is also the vice chair of East Lothian IJB has received an additional notional day's remuneration specifically for his role as vice chair of the IJB in 2016/17. This remuneration is £8,169 per annum.

Remuneration: Officers of the IJB

The IJB does not directly employ any staff in its own right, however specific post-holding officers are non-voting members of the Board.

Chief Officer

Under section 10 of the Public Bodies (Joint Working) (Scotland) Act 2014 a Chief Officer for the IJB has to be appointed and the employing partner has to formally second the officer to the IJB. The employment contract for the Chief Officer will adhere to the legislative and regulatory framework of the employing partner organisation. The remuneration terms of the Chief Officer's employment are approved by the IJB.

The Chief Officer of the IJB is David Small who is also the Director of Health and Social Care for East Lothian Council and the Joint Director of the East Lothian Partnership. It has been agreed, and this was disclosed in the accounts for 2015/16, that 50% of her total remuneration is to be shown in the accounts of the IJB as his remuneration as the Chief Officer of the IJB

Other Officers

No other staff are appointed by the IJB under a similar legal regime. Other non-voting board members who meet the criteria for disclosure are included in the disclosures below.

Total 2015/16 £	Senior Employees	Salary, Fees & Allowances £	Total 2016/17 £
36,346	David Small	50,865	50,865

Note - 2015/16 was not a full year, D. Small was only appointed in July 2015.

In respect of officers' pension benefits the statutory liability for any future contributions to be made rests with the relevant employing partner organisation. On this basis there is no pensions liability reflected on the IJB balance sheet for the Chief Officer or any other officers.

The IJB however has responsibility for funding the employer contributions for the current year in respect of the officer time spent on fulfilling the responsibilities of their role on the IJB. The following table shows the IJB's funding during the year to support officers' pension benefits. The table also shows the total value of accrued pension benefits which may include benefits earned in other employment positions and from each officer's own contributions.

	In year Contribution			Accrued Pension benefits at	
	For year 31/03/2017 £000's	For period ending 31/3/16 £000's		at 31/3/17 £000's	31/3/16 £000's
David Small (from July 2015)	7.6	5.1	Pension Lump Sum	41.3 124.0	39.4 118.3

Disclosure by Pay Bands

As required by the regulations, the following table shows the number of persons whose remuneration for the year was £50,000 or above, in bands of £5,000.

Number of Employees in Band 2015/16	Remuneration Band	Number of Employees in Band 2016/17
0	£55,000 - £59,999	0
0	£60,000 - £65,000	0

Exit Packages

The IJB did not support nor did it direct to be supported by its partners any exit packages during 2016/17

Peter Murray
IJB Chair

David Small
Chief Officer

Annual Governance Statement

East Lothian IJB is responsible for ensuring that its business is conducted in accordance with the law and proper standards. This is to allow public funds at its disposal to be safeguarded and used efficiently and effectively in pursuit of best value.

Board members including the Chief Officer and Chief Finance Officer are responsible for the governance of the business affairs of East Lothian IJB. This includes:

- setting the strategic direction, vision, culture and values of the IJB;
- establishing appropriate and cost effective systems, processes and internal controls to allow the strategic objectives to be delivered.

It should be noted that development work continues on the risk management process and the whistle-blowing and fraud prevention procedures and processes. East Lothian IJB's financial management arrangements conform to the requirements of the CIPFA Statement on the role of the Chief Financial Officer in Local Government. The Chief Finance Officer has overall responsibility for the IJB's financial arrangements and is professionally qualified and suitably experienced.

In discharging this responsibility, the Chief Officer has put in place arrangements for governance which includes the system of internal control. This is designed to manage risk to a reasonable level, but cannot eliminate the risk to failure to achieve policies, aims and objectives and can therefore only provide reasonable but not absolute assurance of effectiveness.

The IJB is responsible for conducting each financial year, a review of the effectiveness of its governance framework, including risk management and the systems for internal control and financial control. The review of the effectiveness of the IJB's governance framework is informed by:

- the work of the IJB, the Strategic Planning Group and the Audit & Risk Committee;
- the Chief Internal Auditor's annual report which is based on internal audit work completed during the year; and
- reports from other external review bodies, agencies and inspectorates.

These assessments did not highlight any issues that would impact on the level of effectiveness of the IJB's governance framework. However, a number of improvements were identified and are discussed in the action plan below. This is the second year of the IJB's operation and the first year in which the IJB has

managed its financial allocations and these issues are still being developed. These are addressed below.

The statement has also been informed by the work undertaken by Internal Audit who, following the requirements of the Local Authority Accounts (Scotland) Regulations 2014, conducted an annual review of the effectiveness of the IJB's system of internal control. The Chief Internal Auditor has responsibility for the IJB's Internal Audit function and reports functionally to the Audit and Risk Committee to allow appropriate independence. The Chief Internal Auditor is professionally qualified and suitably experienced to lead and direct the Internal Audit team. The Internal Audit service generally operates in accordance with the Public Sector Internal Audit Standards.

The Chief Internal Auditor concluded that subject to weaknesses identified, reasonable assurance can be placed on the overall adequacy and effectiveness of the IJB's framework of governance, risk management and control for the period from 1 April 2016 to 31 March 2017. These improvements are reflected within the action plan detailed below.

The results from these reviews were presented to the June 2017 IJB with the Annual Governance Statement for approval.

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East Lothian IJB (the 'Board') has secured compliance with statutory and other requirements, as follows:

- **Membership** - its minimum membership (voting and non-voting) is set by statutory instrument, with the power to appoint additional members as it sees fit. The Board's membership is fully populated;
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- **Officers** - the Board appointed a Chief Officer and a Chief Finance Officer as required by the legislation. The Board has also appointed a Standards Officer

(the Chief Officer) in relation to its statutory Code of Conduct for Members. A Chief Internal Auditor has been appointed to carry out the Board's internal audit requirements and assist its Audit and Risk Committee;

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Action Plan

Through the Board and the Audit and Risk Committee, further work will be progressed and will be carried out in relation to governance of these particular aspects of the Board's statutory duties and powers:

Areas for Improvement identified in 2016/17	Action undertaken 2016/17
<p>Financial Assurance Finalisation of the 2016/17 financial assurance process including a formal offer of financial resources from NHS Lothian</p>	<p>At its March 2016 meeting the IJB accepted the East Lothian Council budgetary offer and an indicative offer from NHS Lothian. NHS Lothian's formal financial allocation offer for 2016/17 was received on 14 June 2016. The final financial assurance for 2016/17 was presented to the IJB at its August meeting. The IJB agreed to the proposed budget.</p>

<p>Three year financial plan The financial plan that underpins the IJB's Strategic Plan should cover a three year period</p>	<p>Although NHS Lothian have only made an offer for one year, East Lothian Council have made a three year indicative position. The 2017/18 budget is also a one year settlement however this is now being addressed in 2017/18 as part of the future budget setting process</p>
<p>Financial Risk Sharing Completion of a financial risk sharing agreement between the IJB and its partners</p>	<p>The 2016/17 financial risk sharing was agreed. NHS Lothian agreed to cover the health elements of the IJB's budget and East Lothian Council made an additional £1.0m available to cover any overspends within the social care element of the IJB's budget</p>
<p>Support to the IJB from the partners Finalisation of the actions requiring to be undertaken by the partners to support the IJB as laid out in the IJB's integration scheme</p>	<p>A range of matters have been progressed :-</p> <ul style="list-style-type: none"> • Additional staffing to support for the IJB's planning team. • Support from NHS Lothian Internal Audit team to the IJB's CIA • Support for the delivery of performance and activity information from NHS Lothian • Support to prepare an IJB risk register • Redesign of the NHS Strategic Planning group and NHS Finance and performance group to reflect the responsibilities of the IJB. • Agreement to an whole Lothian system Internal Audit report sharing mechanism – that is all four councils, NHS Lothian and all four IJBs • Representation of the IJB on NHS Lothian's clinical governance committee

<p>Performance management Further development of the performance management framework for the IJB</p>	<p>The IJB is continuing to work with its partners to agree and implement a system of performance management (including financial performance). Detailed reports were presented to the IJB at its meetings in August 2016 and February 2017. Further reports will be presented to the IJB in 2017/18</p>
<p>Risk management Further developments in the risk management system for the IJB.</p>	<p>A draft proposal and risk register was submitted to the IJB's Audit and Risk Committee on 23 March 2016 with a further report along with an updated risk register which was presented to the Audit and Risk Committee on 21 June 2016. The risk register continues to be developed and has been presented to the Audit and Risk Committee at each of its meeting in 2016/17.</p>

<p>Area for Improvement identified in 2016/17</p>	<p>Actions to be undertaken</p>
<p>Use of the Social Care Fund A lack of a clear audit trail to monitor the actual social care fund (£4.37 million) expenditure incurred to date for certain categories of spends.</p>	<p>A range of reports regarding the SCF were made to the IJB in 2016/17 a final report will be made to the IJB meeting of June 2016. This report shows that the expenditure on the SCF was in line with the IJB's agreement with East Lothian Council</p>
<p>Performance Management The need to ensure that the performance management framework is fully developed and clearly sets out how the IJB will measure performance against the Strategic Plan, identify areas where improvements are required and demonstrate to stakeholders the benefits that are being delivered</p>	<p>This work continues supported by the IJB's partners and a reporting mechanism has been agreed with further development work in train. Reports were presented to the IJB at its meetings in August 2016 and February 2017.</p>

<p>Risk Register</p> <p>The risk register in place requires review to ensure that it includes all ongoing and emerging risks facing the IJB including these identified as part of the financial assurance process. The register should clearly set out the additional controls and measures to manage the risks identified and meet the desired risk targets.</p>	<p>The IJB's risk register was presented to the meeting of the IJB's Audit and Risk committee in 2016/17. It is being reviewed and updated and work is underway with both NHS Lothian and the other IJBs in the Lothians to ensure that there are all the risk are appropriately covered.</p>
<p>Participation, engagement and the workforce development plan</p> <p>Progress that requires to be made on Participation and Engagement and the Workforce Development and Support Plan, to ensure compliance with the Integration Scheme</p>	<p>The IJB has continued to engage both its partners and, more importantly the public which its services. Regular updates and briefings are provided on the IJB's website and the IJB has undertaken a second 'big conversation' to engage with the public. The IJB is working with its partners to develop a workforce plan</p>

On the basis of the IJB's assurance system, and the elements of governance at its disposal, we are satisfied that overall, East Lothian IJB's systems of internal control, risk management and governance arrangements are of a satisfactory standard. We are aware of areas where improvements are required and steps will be taken in the forthcoming year to address these areas, allowing the IJB to advance its corporate governance arrangements and seek continuous improvement.

Signed:

Chair of the IJB and David Small, Chief Officer

Date:

Comprehensive Income and Expenditure Statement

This statement shows the cost of providing services for the year according to accepted accounting practices. Where the impact on the General Fund is amended by statutory adjustments, this is shown in both the Expenditure and Funding Analysis and the Movement in Reserves Statement.

2016/17		2016/17
Net Expenditure		Net Expenditure
£m		£m
0	NHS Lothian	109.60
	East Lothian Council	44.28
0	Cost of Services	153.88
0	Taxation and Non-Specific Grant Income (Note 6)	153.88
0	Surplus or Deficit on Provision of Services	0.00
0	Total Comprehensive Income and Expenditure	0.00

The IJB was established in August 2015 but did not receive any income nor direct any expenditure in the year ending 2015/16. Consequently the 2016/17 financial year is the first fully operational financial year for the IJB and the figures above reflect this.

Movement in Reserves Statement

The IJB had no reserves in 2016/17 nor does it hold any reserves in 2017/18

Movements in Reserves During 2016/17	General Fund Balance	Unusable Reserves: Employee Statutory Adjustment Account	Total Reserves
	£000	£000	£000
Opening Balance at 31 March 2016	(0)	0	(0)
Total Comprehensive Income and Expenditure	(0)	0	(0)
Increase or Decrease in 2016/17	(0)	0	(0)
Closing Balance at 31 March 2017	(0)	0	(0)

Movements in Reserves During 2015/16	General Fund Balance	Unusable Reserves: Employee Statutory Adjustment Account	Total Reserves
	£000	£000	£000
Opening Balance at 31 March 2015	0	0	0
Total Comprehensive Income and Expenditure	(0)	0	(0)
Increase or Decrease in 2015/16	(0)	0	(0)
Closing Balance at 31 March 2016	(0)	0	(0)

Balance Sheet

The IJB has neither assets or liabilities at 31st March 2017

The Balance Sheet shows the value of the IJB's assets and liabilities as at the balance sheet date. The net assets of the IJB (assets less liabilities) are matched by the reserves held by the IJB.

31 March 2016 £000	Notes	31 March 2017 £000
6	Short term Debtors	0
6	Current Assets	0
6	Short term Creditors	0
6	Current Liabilities	0
0	Provisions	0
0	Long-term Liabilities	0
0	Net Assets	0
0	Usable Reserve: General Fund	0
0	Usable Reserve:	0
0	Employee Statutory Adjustment	0
0	Account	0
0	Total Reserves	0

David King
Chief Finance Officer

Notes to the Financial Statements

1. Significant Accounting Policies

General Principles

The Financial Statements summarises the IJB's transactions for the 2016/17 financial year and its position at the year-end of 31 March 2017.

The IJB was established under the requirements of the Public Bodies (Joint Working) (Scotland) Act 2014 and is a Section 106 body as defined in the Local Government (Scotland) Act 1973.

The Financial Statements are therefore prepared in compliance with the Code of Practice on Local Authority Accounting in the United Kingdom 2016/17, supported by International Financial Reporting Standards (IFRS), unless legislation or statutory guidance requires different treatment.

The accounts are prepared on a going concern basis, which assumes that the IJB will continue in operational existence for the foreseeable future. The historical cost convention has been adopted.

Accruals of Income and Expenditure

Activity is accounted for in the year that it takes place, not simply when settlement in cash occurs. In particular:

- Expenditure is recognised when goods or services are received and their benefits are used by the IJB.
- Income is recognised when the IJB has a right to the income, for instance by meeting any terms and conditions required to earn the income, and receipt of the income is probable.
- Where income and expenditure have been recognised but settlement in cash has not taken place, a debtor or creditor is recorded in the Balance Sheet.
- Where debts may not be received, the balance of debtors is written down

It should be noted that the above principle are those applied by the partners (NHS Lothian and East Lothian Council). The IJB has funded these partners to deliver the delegated functions and these partners have charged the IJB as above.

Funding

The IJB is wholly funded through funding contributions from the statutory funding partners, East Lothian Council and NHS Lothian. Expenditure is incurred in the form of charges by the partners.

Cash and Cash Equivalents

The IJB does not operate a bank account or hold cash. Transactions are settled on behalf of the IJB by the funding partners. Consequently the IJB does not present a 'Cash and Cash Equivalent' figure on the balance sheet. There are no outstanding funding balances from either partners at 31st March 2017.

Employee Benefits

The IJB does not directly employ staff. Staff are formally employed by the partners who retain the liability for pension benefits payable in the future. The IJB therefore does not present a Pensions Liability on its Balance Sheet.

The IJB has a legal responsibility to appoint a Chief Officer. More details on the arrangements are provided in the Remuneration Report.

Provisions, Contingent Liabilities and Contingent Assets

Provisions are liabilities of uncertain timing or amount. A provision is recognised as a liability on the balance sheet when there is an obligation as at 31 March due to a past event; settlement of the obligation is probable; and a reliable estimate of the amount can be made. Recognition of a provision will result in expenditure being charged to the Comprehensive Income and Expenditure Statement and will normally be a charge to the General Fund.

A contingent liability is a possible liability arising from events on or before 31 March, whose existence will only be confirmed by later events. A provision that cannot be reasonably estimated, or where settlement is not probable, is treated as a contingent liability. A contingent liability is not recognised in the IJB's Balance Sheet, but is disclosed in a note where it is material.

A contingent asset is a possible asset arising from events on or before 31 March, whose existence will only be confirmed by later events. A contingent asset is not recognised in the IJB's Balance Sheet, but is disclosed in a note only if it is probable to arise and can be reliably measured.

Reserves

The IJB's reserves are classified as either Usable or Unusable Reserves.

The IJB's only Usable Reserve is the General Fund. The balance of the General Fund as at 31 March shows the extent of resources which the IJB can use in later years to support service provision. As noted above, the IJB has no reserves at 31st March 2017.

The IJB's only Unusable Reserve is the Employee Statutory Adjustment Account. This is required by legislation.

Indemnity Insurance

The IJB has indemnity insurance for costs relating primarily to potential claim liabilities regarding Board member and officer responsibilities. NHS Lothian and East Lothian Council have responsibility for claims in respect of the services that they are statutorily responsible for and that they provide. The IJB holds separate indemnity insurance through its membership of the CNORIS scheme, the charge for this in 2016/17 was £6,000.

Unlike NHS Boards, the IJB does not have any 'shared risk' exposure from participation in CNORIS. The IJB participation in the CNORIS scheme is therefore analogous to normal insurance arrangements.

Known claims are assessed as to the value and probability of settlement. Where it is material the overall expected value of known claims taking probability of settlement into consideration, is provided for in the IJB's Balance Sheet.

The likelihood of receipt of an insurance settlement to cover any claims is separately assessed and, where material, presented as either a debtor or disclosed as a contingent asset.

2. Critical Judgements and Estimation Uncertainty

The critical judgements made in the Financial Statements relating to complex transactions are

- The partner organisations have considered their exposure to possible losses and made adequate provision where it is probable that an outflow of resources will be required and the amount of the obligation can be measured reliably. Where it has not been possible to measure the obligation, or it is not probable in the partner organisations' options that a transfer of economic benefits will be required, material contingent liabilities have been disclosed (there are none)

- The Annual Accounts contains estimated figures that are based on assumptions made by the IJB about the future or that are otherwise uncertain. Estimates are made taking into account historical experience, current trends and other relevant factors. However, because balances cannot be determined with certainty, actual results could be materially different from the assumptions and estimates.
- There are no items in the IJB's Balance Sheet at 31 March 2017 for which there is a significant risk of material adjustment in the forthcoming financial year.

Provisions

The IJB has not created any provisions in respect of compensation claims. It is not certain that all claims have been identified or that the historic level of settlement payments is a reliable guide for future settlements.

3. Events After the Reporting Period

The Annual Accounts were authorised for issue by the IJB on 14th September 2017. Events taking place after this date are not reflected in the financial statements or notes. Where events taking place before this date provided information about conditions existing at 31 March 2017, the figures in the financial statements and notes have been adjusted in all material respects to reflect the impact of this information.

The financial statements and notes have not been adjusted for the following events which took place after 31 March 2017 as they provide information that is relevant to an understanding of the authority's financial position but do not relate to conditions at that date:

4. Expenditure and Funding Analysis

Expenditure		
2015/16		2016/17
£000's	Services specifically for East Lothian	£000's
0	Health	63,936
0	Social Care	44,277
	East Lothian's share of Lothian Health Services	
0	Hosted	21,370
0	Set Aside	24,290
0	Total	153,873
Funded By		
0		44,277
0	NHS Lothian	109,596
		153,873

Expenditure above has been split into three main areas:-

- Expenditure on those services delivered specifically for the population of East Lothian. These services are managed locally by the East Lothian Partnership
- Hosted Services – these are health services managed either by the Edinburgh, East Lothian and West Lothian Partnerships or managed by NHS Lothian on a pan-Lothian basis. These services included Mental Health Services, Learning Disability Services, Substance Misuse Services, Rehabilitation services, General Dental Services, General Pharmaceutical Services and General Ophthalmic Services. This is the IJB's agreed share of these services.
- Set Aside Services – these are services delivered in the main acute hospitals (Royal Infirmary of Edinburgh, Western General Hospital and St. John's Hospital) and managed by NHS Lothian. This is the IJB's agreed share of these services

Corporate Service

Included in the above costs are the following corporate services:-

2015/16 £000's		2016/17 £000's
0	Staff (Chief Officer)	51
0	Audit Fee	17
0	Total	68

5. Related Party Transactions

As partners with the East Lothian Integration Joint Board both East Lothian Council and NHS Lothian are related parties and the material transactions with these bodies are disclosed in these accounts.

There are elements of expenditure which are shown against the NHS Lothian above but where the resources are used by the social care services delivered by East Lothian Council.

2015/16 £000's		2016/17 £000's
	NHS Lothian	109,596
0	Resource Transfer	-3,226
0	Social Care Fund	-4,370
0		102,000
	East Lothian Council	44,277
0	Resource Transfer	3,226
0	Social Care Fund	4,370
0	Total	51,873

Both Resource Transfer and the Social Care Fund are resources which are part of the NHS Lothian budget and are shown as expended therein but these funds are used to deliver social care service supplied by East Lothian Council.

6. VAT

The IJB is not a taxable person and does not charge or recover VAT on its functions.

The VAT treatment of expenditure and income within the accounts depends upon which of the partners is providing the services as these bodies are treated differently for VAT purposes.



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 29 June 2017

BY: Chief Officer

SUBJECT: Integration Joint Board Performance Report

10

1 PURPOSE

- 1.1 To inform the Integration Joint Board (IJB) of its duty to publish an annual performance report for 2016-17 as its first year of operation and the progress so far producing this report.

2 RECOMMENDATIONS

- 2.1 That the IJB acknowledges the legislative requirement for it to publish an annual performance report for its first year of operation, 2016-17 and that such a report will need to be produced in subsequent years.
- 2.2 That the IJB notes there is an expectation in legislation that the 2016-17 performance report will be published by 31 July 2017.
- 2.3 The IJB is asked to further note that because of timings of IJB meetings over the summer, publication will be delayed to allow the report to be formally considered at the 24th August IJB meeting before being released. It is known that some other IJBs across the country are planning a similar delay in publication

3 BACKGROUND

- 3.1 The Public Bodies (Joint Working) (Scotland) Act 2014, requires the development of Integration Joint Board or Lead Agency arrangements to integrate health and social care services.
- 3.2 The 2014 Act requires the 'Integration Authority' (Integration Joint Board/Lead Agency) to publish an annual performance report on its achievements in planning and delivering its integration functions.
- 3.3 The performance report must take into account guidance (<http://www.gov.scot/Publications/2016/03/4544/downloads>) provided by the Scottish Government and has to be published within four months

of the end of the year being reported on. For the 2016-17 period this means the report must be published by 31 July 2017.

- 3.4 The annual report must be published so that it is available online and disseminated and made accessible to the public and to partners.
- 3.5 A number of IJBs which were established in 2015-16 have already published their first year annual reports. These provide helpful examples on how to present performance to a wide audience.
- 3.6 The Scottish Government guidance requires the report to describe, as a minimum, performance against specific elements:
 - National Health and Wellbeing Outcomes
 - Core Integration Indicators
 - Financial Performance
 - Localities
 - Service Inspections.
- 3.7 There is an expectation that the annual performance reports will also include information beyond the above minimum list to allow IJBs to highlight particular achievements.
- 3.8 The East Lothian report under development is currently seeking input from colleagues across the Health and Social Care Partnership (appendix 1). This will gather accounts of good practice and achievements against the national performance indicators as well as case studies, photos, videos, quotes and positive feedback.
- 3.9 The Information Services Division (ISD) supported LIST team (Lothian Information Support Team) will provide analytical and data input to the report.

4 POLICY IMPLICATIONS

- 4.1 There are no policy implications arising from this report or the recommendations within.

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy

6 RESOURCE IMPLICATIONS

- 6.1 Financial – To improve the accessibility of the report a small budget may be required to produce a short run of printed copies and a leaflet summarising the report's contents.
- 6.2 Personnel – Development work for the annual report and summary report will be carried out within the HSCP team.
- 6.3 Other – None

7 BACKGROUND PAPERS

- 7.1 East Lothian Health and Social Care Partnership Annual Report Template (Appendix 1).

AUTHOR'S NAME	Paul Currie
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CONTACT INFO	paul.currie@nhslothian.scot.nhs.uk
DATE	16-06-17

AUTHOR'S NAME	Jane Ogden-Smith
DESIGNATION	Communications Officer
CONTACT INFO	Jogden-smith@eastlothian.gov.uk
DATE	16-06-17

Appendix 1 - East Lothian Health and Social Care Partnership Annual Report Template

East Lothian Health and Social Care Partnership Annual Report Template 2017

We are currently compiling the 2015/16 East Lothian Health and Social Care Partnership (ELHSCP) Annual Report. The Scottish Government has issued guidance about what it needs to see in each partnership’s annual report, including the 23 national performance indicators and financial reports. These can be supplied from information that we hold centrally. However, we also have to report on the nine National Health and Wellbeing Outcomes for Health and Social Care across ELHSCP and we need your help to supply the information that must appear in the annual report. On the following pages you will find a template that we would like you to fill out as far as you can. We are not looking for extremely detailed information. A maximum of two to three sentences for each area you would like to cover will be fine – we will come back to you for more information if we need it. You can type directly into the template and cut and paste from papers as you see fit.

Please fill in and return this template to paul.currie@nhslothian.scot.nhs.uk by 12 noon on 23 June 2017. Thank you very much.

Topic	Your input <i>If you do not have anything to report against a particular outcome, just leave that section blank.</i>	Examples of good practice/case studies <i>Please share any relevant examples of good practice/case studies against the relevant topic/outcome</i>	Photos or quotes <i>If you have some positive feedback, quotes, photos or videos that could be shared, please list them in this column against the appropriate topic/outcome. We can also arrange to interview service-users and take photos – just let us know</i>
Introduction/highlights of the year			

<p>People are able to look after and improve their own health and wellbeing and live in good health for longer.</p>			
<p>People, including those with disabilities or long term conditions, or who are frail, are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community.</p>			
<p>People who use health and social care services have positive experiences of those services, and have their dignity respected.</p>			
<p>Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.</p>			
<p>Health and social care services contribute to reducing health inequalities.</p>			
<p>People who provide unpaid care are supported to look after their own health and wellbeing, including to reduce any negative impact of their</p>			

caring role on their own health and well-being.			
People who use health and social care services are safe from harm.			
People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.			
Resources are used effectively and efficiently in the provision of health and social care services.			

Anything else you think should be in the report about your services

Please use this section to provide information about anything else you feel should be included





REPORT TO: East Lothian Integration Joint Board
MEETING DATE: 29 June 2017
BY: Chief Officer
SUBJECT: Care Inspectorate Grades: East Lothian

11

1 PURPOSE

- 1.1 Information contained in the IJB Performance report from February 2017 advised that grades of inspected services across East Lothian were at “amber”. The IJB expressed concern at this and asked for a follow up report. This paper analyses the trends of the grades from the last two inspections to identify if this information holds merit. The report will look at the progress of services including Care Home services, Care At Home services, Day Centres and Resource Centres.

2 RECOMMENDATIONS

- 2.1 The IJB is asked to note the following information in relation to current Care Inspectorate grades for services across East Lothian.

3 BACKGROUND

- 3.1 Grades across all the services in East Lothian generally show trends of either maintaining or improving following recent inspections with the exception of a small number of providers who have had their grades reduced.
- 3.2 One Care Home provider continues to be under close monitoring for this reason, although it is expected that this will improve at the next follow up inspection which is due imminently. A second care home is currently undergoing close monitoring following a recent inspection, although final grades are still to be awarded, it is likely that these will drop.
- 3.3 One Care at Home provider who was due an inspection at the time of issuing the new Care at Home Framework contracts did not meet the required grades and has since not been awarded a place on the contract in order to maintain quality in service provision.

- 3.4 Services across East Lothian are inspected and graded on a yearly basis by the Care Inspectorate (CI). Inspections can occur more frequently if Improvement Notices are issued or the CI has specific concerns in relation to a service.
- 3.5 Grades scored by the CI are on a scale of 1 – 6 with 1 indicating a failing service and 6 indicating a level of excellence. Grades are as follows:

CI Grade	Scoring Level
1	Unsatisfactory
2	Weak
3	Adequate
4	Good
5	Very Good
6	Excellent

- 3.6 There are currently 17 care homes within East Lothian. Currently 1 service is undergoing close contract monitoring as a result of a downgrade to level 2
- 3.7 Care at Home services in East Lothian recently underwent a tendering exercise and a new framework was put in place from 1st April 2017 that included 15 providers. Following the tender both specialist and generic providers were combined and there is now no distinction between these services. However providers are able to indicate that they will provide support to specific user groups according to their area of expertise. It was necessary to have a minimum of CI Grade 3 overall to qualify on to the framework. There are incentives for providers within the framework to encourage them to improve their grade to 4.
- 3.8 Day Centres across East Lothian were graded for the first time over the course of 2016/17 as these services are newly registered with the Care Inspectorate.
- 3.9 Appendices detailing the full range of grades over the last two years are available at the end of this report.

Care Home Services

- 3.10 A summary of the grades across care home services is as follows:
- 70% of the homes are graded level 4 or above
 24% are graded at level 3
 6% are graded at level 2
 0 are graded at level 1

- 3.11 Since the last inspection, 41% of homes increased the grades from their previous inspection, 47% of homes retained the same grades and only 12% of homes have had their grades reduced indicating a relatively stable or improving service in this sector
- 3.12 Contract monitoring is currently targeting those homes that are overdue their monitoring meeting with only 3 homes overdue on this. Dates are currently in place to meet with these services (Belhaven, Drummohr and St Anne's). Once these are complete all homes within the county will have had a contract monitoring meeting in the last 12 months.
- 3.13 East Lothian Council is continuing to monitor Fidra Nursing Home following their downgrade in December 2016 and the CI will carry out a follow up inspection to assess the level of improvement imminently. The Partnership decided not to initiate a Large Scale Investigation for the home despite a drop in their grades as the home had put in place a robust improvement plan and continuing reviews of placements at the care home determined there were no adult protection issues. The Strategy Team and Care Home Review Team continue to work with Fidra to monitor improvements.
- 3.14 The Partnership also receives a 6 monthly Market Intelligence report from Scotland Excel that includes a breakdown of credit ratings of each of the care home providers working in the county. Since receiving this report we are investigating one instance of a care home with a low credit rating and are undertaking monitoring measures in conjunction with our finance department.

Care At Home Services

- 3.15 Grades are available for 13 of the 15 providers on the framework as one provider, currently based in England, is graded under a different monitoring system. Another provider only has one year's worth of grades from the CI as it is a new service.
- 3.16 A summary of the grades for the remaining 13 are as follows:
- 12 (92%) of the providers are at grade 4 or above
 - 1 (8%) is graded at level 3
 - No provider is currently rated lower than a grade 3
- 3.17 Out of these providers, 46% have increased their grades since their last inspection and 38% have maintained their grade. 15% have decreased.
- 3.18 Contract monitoring will be completed through the Balanced Scorecard and Key Performance Indicators laid out in the 2017 Care at Home Framework.
- 3.19 The Partnership also continues to monitor the performance of our framework providers in conjunction with any changes in grades provided by the Care Inspectorate.

- 3.20 The Partnership undertook one Large Scale Investigation in 2016 for Living Ambitions when their grades dropped below a 3 in the areas of Staffing and Management & Leadership. They are now no longer part of the Framework due to failing to meet the required qualifying grades.

Day Centre Services/Other Providers

- 3.21 Older Peoples' Day Centres across the county were inspected for the first time in 2016/17 therefore we have no data from the CI to track trends for the majority of the services in this area. However two centres have now had a second inspection with one service increasing their grades, and one reducing in the area of Quality of Care.
- 3.22 6 out of the 10 day centres have had grades awarded, with the remaining 4 to still be inspected. Of the 6 available, 6 (100%) are now listed at grade 4 or above.
- 3.23 Contract monitoring arrangements are currently being developed as part of a renewed contract for three years where the role of day centres will be developed.
- 3.24 Adult Resource Centres are the internal day care provision within East Lothian Council. At present all 3 resource centres are graded at level 4 or above. However, since the last inspection two out of the three centres have had their grades slightly reduced in the area of staffing, although in the area of Quality of Care, grades have either been maintained or improved.
- 3.25 The Adult Placement Service continues to provide a high quality of care and has maintained grades of 5 since their last inspection.

4 POLICY IMPLICATIONS

- 4.1 None

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

6 RESOURCE IMPLICATIONS

- 6.1 Financial – None
- 6.2 Personnel – None
- 6.3 Other – None

7 BACKGROUND PAPERS

7.1 None

AUTHOR'S NAME	Bryan Davies
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DATE	20/06/2017

Appendix 1

Care Home Grades

Care Homes for Older People (NCHC) Register								
Name of Establishment	Provider	Care Type	Care Inspectorate Quality Grades				Contract Monitoring	
			Date of CI report	Care & Support	Environment	Staffing		Management & Leadership
Private Homes								
Astley House	Fairfield Care Homes Ltd	Nursing	29/08/2016	5	5	5	5	10/01/2017
			31/08/2015	5	5	5	5	
Belhaven Nursing Home	NHS Lothian/East Lothian Council	Nursing	06/05/2016	3	4	4	3	15/07/2015
			04/06/2015	3	3	4	3	
Carberry	Carberry House Care Home	Residential	16/02/2017	5	4	5	5	23/10/2014
			09/08/2016	4	3	5	5	
Drummohr	HC-One	Nursing	16/11/2016	3	3	4	4	12/05/2016
			04/08/2015	3	3	3	3	
Fidra Nursing Home	Randolph Hill Care Homes Ltd	Nursing	20/12/2016	2	3	2	2	15/08/2016
			29/03/2016	3	4	4	3	
Florabank Residential Home	Florabank Home Limited	Residential	02/06/2016	5	4	5	5	29/10/2014
			08/06/2015	5	4	4	5	
Lammermuir House	Tamaris (RAM) Limited	Nursing	16/01/2017	4	3	3	4	10/05/2016
			30/06/2016	3	3	3	3	
Levenhall Nursing Home	Renaissance Care (Scotland) Limited	Nursing	16/12/2016	4	4	5	5	19/05/2016
			29/09/2015	5	4	5	5	
Muirfield Nursing Home	Randolph Hill Care Homes Ltd	Nursing	14/12/2016	3	3	3	3	05/05/2016
			08/10/2016	3	3	3	3	
St. Anne's Care Home	Sisters Of Charity Of St Paul The Apostle	Residential	07/12/2016	4	4	4	4	24/04/2016
			08/02/2016	4	4	4	4	
Tranent Nursing Home	HC-One Limited	Nursing	10/11/2016	3	4	3	4	08/02/2017
			18/05/2016	1	1	1	2	
Tyneholm Stables	Embrace	Nursing	16/05/2016	4	4	3	3	31/07/2015

			20/08/2015	4	4	4	4	
ELC Care Homes								
The Abbey	ELC	Residential	22/10/2015	5	4	5	5	NA
			24/09/2014	5	4	5	5	
Crookston	ELC	Residential	15/08/2016	5	5	5	5	NA
			13/07/2015	5	5	5	5	
Eskgreen	ELC	Residential	13/07/2016	4	3	3	3	NA
			17/09/2015	4	3	3	3	
Non NCHC Care Homes								
Adamwood			22/04/2015	4	4	3	3	N/A
			13/11/2014	4	4	3	3	
Hilton Lodge			13/05/2016	6	6	6	6	N/A
			27/04/2015	6	6	6	5	

Appendix 2

Care At Home Grades

Care At Home Providers						
Provider	Care Inspectorate Quality Grades					Notes
	Date of CI report	Care & Support	Environment	Staffing	Management & Leadership	
Existing Services						
ELCAP	31/05/2016	6	N/A	6	N/A	
	04/06/2015	5	N/A	6	N/A	
THERA (Scotland)	29/09/2016	4	N/A	N/A	N/A	
	22/10/2015	4	N/A	5	5	
Penumbra	30/11/2016	5	N/A	4	5	
	27/10/2016	5	N/A	5	4	
Crossreach	05/05/2016	5	N/A	N/A	5	
	09/04/2015	4	N/A	5	4	
Places for People	30/05/2016	5	N/A	5	N/A	
	28/04/2015	6	N/A	6	5	
SCRT	30/06/2016	4	N/A	5	N/A	
	18/06/2015	4	N/A	5	4	
Allied Healthcare	14/10/2016	4	N/A	N/A	N/A	
	11/01/2016	4	N/A	4	4	
McSence	17/08/2016	5	N/A	5	5	
	23/04/2015	3	N/A	3	3	
Call In Homecare	31/03/2016	4	N/A	4	3	Service opened an office in East Lothian in 2016. 2015 grades are based on the Edinburgh Service previously used
	03/09/2015	4	N/A	4	5	
ELC Homecare	18/10/2016	4	N/A	4	4	
	27/10/2015	3	N/A	4	4	
New/Changing Services Following Tender						
Mears (ILS)	06/02/2017	3	N/A	3	3	Both companies now merging
	07/08/2015	3	N/A	3	3	
Mears (Homecare)	19/07/2016	3	N/A	3	4	Both companies now merging

	27/08/2015	3	N/A	4	3	
Beyond Homecare	29/06/2016	5	N/A	5	N/A	Formerly traded under Allan Ross Homecare. No grades available under their new trading name
	20/08/2015	4	N/A	4	4	
Real Life Options	07/12/2016	5	N/A	4	4	Based on the Edinburgh Service. No data for previous years
Enable	26/08/2015	6	N/A	6	6	Based on Edinburgh Service Grades
	03/09/2014	6	3	3	3	
Delight Supported Living	20/09/2016	4	4	4	4	No info on previous year
Careline Homecare						English service, no grades based in Scotland. English services range from Good to Require Improvement

APPENDIX 3

Day Centres/Other Providers

Day Service/Other Providers						
Provider	Date of CI report	Care Inspectorate Quality Grades				Notes
		Care & Support	Environment	Staffing	Management & Leadership	
Under 65 Resource Centres						
Fisherrow Resource Centre	07/08/2014	4	5	4	4	
	02/08/2013	3	3	2	2	
Tynebank Resource Centre	29/04/2016	5	5	4	5	
	15/05/2013	5	5	5	5	
Port Seton Resource Centre	20/05/2016	4	N/A	4	4	
	02/05/2013	4	5	5	4	
Older People's Day Centres						
Lynton - East Linton	18/04/2017	4	5	5	4	
	20/05/2016	5	5	N/A	N/A	
Haddington	09/06/2016	4	4	4	4	No prior grades
Primrose - Ormiston	23/02/2017	4	4	5	4	No prior grades
Harlawhill - Prestonpans	24/01/2017	5	4	5	4	No prior grades
North Berwick	04/03/2016	4	4	4	4	No prior grades
Dunbar	03/05/2017	4	3	3	4	
	24/10/2016	2	2	3	1	
John Bellany - Port Seton						Not yet graded
The Hollies - Musselburgh						Not yet graded
Tranent						Not yet graded
Gullane						Not yet graded

Other Providers						
Adult Placement Service	04/11/2016	5	N/A	N/A	N/A	
	06/05/2016	5	N/A	5	4	



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 29 June 2017

BY: Chief Officer

SUBJECT: Primary Care Premises in Haddington – Strategic Assessment

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1 PURPOSE

- 1.1 The purpose of this report is to inform the Integration Joint Board (IJB) that proposals for a project are being developed to replace or extend the current GP Practice premises in Haddington and to seek IJB support.
- 1.2 Any member wishing additional information should contact the Executive Lead in advance of the meeting

2 RECOMMENDATIONS

- 2.1 The IJB is asked to support the strategic assessment for this project and agree that it should be presented to the NHS Lothian Capital Investment Group before proceeding to Initial Agreement stage.

3 BACKGROUND

- 3.1 All capital projects that seek funding from NHS Lothian must follow the path described in the Scottish Capital Investment Manual. The Strategic Assessment represents the first stage of this process and offers an opportunity for the early prioritisation of such projects.
- 3.2 Appendix 1 is the Strategic Assessment for primary care premises in Haddington. The scores in the Strategic Assessments indicate that there is a requirement to support the progression to further investigate potential solutions.

4 POLICY IMPLICATIONS

- 4.1 The proposals support the IJB strategic direction of maintaining and improving access to primary care and responding to housing development.

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 The subject of this report does will affect the wellbeing of the community or have a significant impact on equality, the environment or economy. However an integrated impact assessment is carried out at Initial Agreement stage which follows this stage.

6 RESOURCE IMPLICATIONS

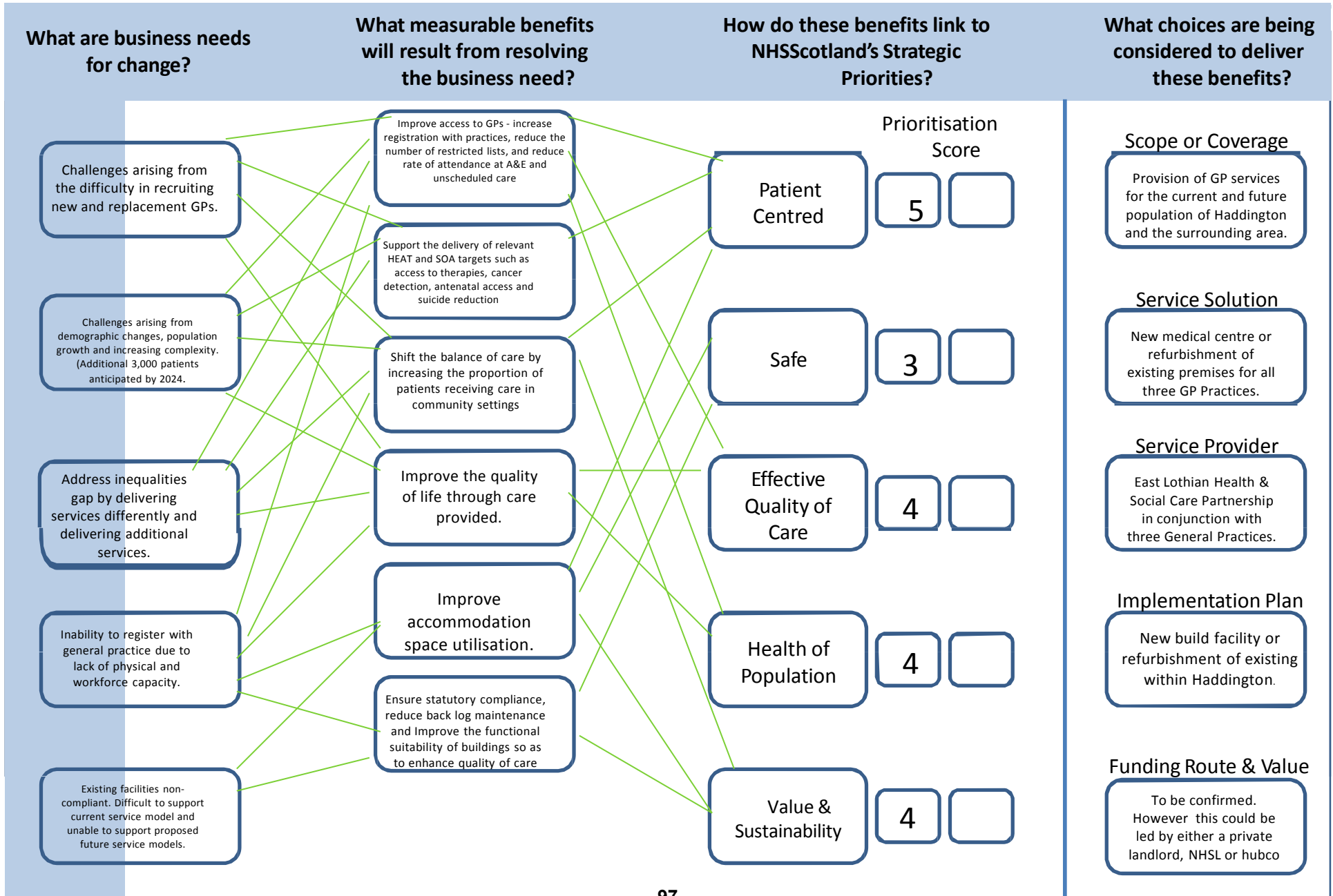
- 6.1 Financial – it is not possible to provide an estimate at Strategic Assessment stage.
- 6.2 Personnel – it is not possible to provide an estimate at Strategic Assessment stage.
- 6.3 Other – it is not possible to provide an estimate at Strategic Assessment stage.

7 BACKGROUND PAPERS

- 7.1 None

AUTHOR'S NAME	Miriam Anderson
DESIGNATION	Project Manager
CONTACT INFO	Miriam.anderson@nhslothian.scot.nhs.uk
DATE	19 June 2017

PROJECT: Haddington GP Services





REPORT TO: East Lothian Integration Joint Board
MEETING DATE: 29 June 2017
BY: Chief Officer
SUBJECT: East Lothian Integration Joint Board Meeting Dates
2017/18

13

1 PURPOSE

- 1.1 To set the dates for meetings of the East Lothian Integration Joint Board for 2017/18.

2 RECOMMENDATIONS

- 2.1 The IJB is asked to approve the dates for meetings of the East Lothian Integration Joint Board for 2017/18, including development sessions, as set out in Sections 3.2 and 3.3 of the report.

3 BACKGROUND

- 3.1 The IJB is required to approve a schedule of meeting dates for session 2017/18. Over the past two years meetings have been scheduled on a monthly basis; usually taking place on the 4th Thursday of each month. However it is proposed that from August 2017 business meetings will take place every two months, with development sessions scheduled in the months in between. The only exceptions to this would be February/March 2018 when there will be business meetings on consecutive months to deal with approval of budgets and Directions for the coming financial year, and April/May 2018 when there will be no business meeting scheduled.
- 3.2 The proposed business meeting dates for 2017/18 are as follows:
- Thursday 24 August 2017, 2 pm
 - Thursday 26 October 2017, 2 pm
 - Thursday 21 December 2017, 2 pm
 - Thursday 22 February 2018, 2 pm

- Thursday 22 March 2018, 2 pm
- Thursday 28 June 2018, 2 pm

3.3 The proposed development session dates for 2017/18 are as follows:

- Thursday 28 September 2017, 2pm
- Thursday 23 November 2017, 2pm
- Thursday 25 January 2018, 2pm
- Thursday 26 April 2018, 2pm
- Thursday 24 May 2018, 2pm

3.4 Members should note that Standing Orders allow the IJB to call additional business meetings, if necessary. This may result in some development session dates being re-designated as business meetings should the need arise. The meetings will be held in the Council Chamber, Town House, Haddington. In the event that a meeting date or venue requires to be changed, members will be notified as soon as practicable.

4 POLICY IMPLICATIONS

4.1 None.

5 INTEGRATED IMPACT ASSESSMENT

5.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

6 RESOURCE IMPLICATIONS

- 6.1 Financial – none.
- 6.2 Personnel – none.
- 6.3 Other – none.

7 BACKGROUND PAPERS

7.1 None.

AUTHOR'S NAME	Fiona Currie
DESIGNATION	Committees Officer, East Lothian Council
CONTACT INFO	fcurrie@eastlothian.gov.uk
DATE	16/06/17