



REPORT TO: East Lothian Integration Joint Board
MEETING DATE: 17 September 2019
BY: Chief Finance Officer
SUBJECT: 2019/20 Audited Annual Accounts

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1 PURPOSE

1.1 This report presents the IJB's annual accounts for 2019/20.

2 RECOMMENDATIONS

2.1 The IJB is asked to:

- i. Note the report of the Independent Auditor; and
- ii. Agree that the IJB's annual accounts for 2019/20 are now signed electronically on behalf of the IJB by the Chair, the Chief Officer and the Chief Finance Officer; following the anticipated approval of the Annual Accounts at the IJB's Audit & Risk Committee on the 15th September 2020.

3. BACKGROUND

- 3.1 As a body governed by section 110 of the Local Government Scotland Act (1973) and the appropriate regulations and subsequent Acts, the IJB must prepare a set of Annual Accounts. The accounts must fulfil the requirements of the Act and the regulations and must give a true and fair view of the IJB's financial position.
- 3.2 The accounts must then be reviewed by an Independent Auditor who will report their findings to this IJB's audit and risk committee which will allow the auditors to bring any matters to the committee's attention. If there are no issues arising from the auditors' report then the committee can recommend acceptance and authorisation of the annual accounts to the IJB.
- 3.3 In summary the auditor's report is unqualified - that is that the auditors consider that the accounts meet the regulations and requirements of

the Act and that the accounts are a true and fair view of the IJB's financial position.

- 3.4 The IJB's Audit and Risk Committee will receive the accounts and the report of the appointed auditors at its meeting on the 15th September 2020. It is anticipated that the Committee will recommend that the IJB accepts these accounts and that the accounts be signed electronically, on the IJB's behalf, by the appropriate members of the IJB.

4 ENGAGEMENT

- 4.1 The IJB makes its papers and reports available on the Council's website.

5 POLICY IMPLICATIONS

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

6 INTEGRATED IMPACT ASSESSMENT

- 6.1 There are no implications for health inequalities or general equality and diversity issues arising directly from the issues and recommendations in this paper.

7 RESOURCE IMPLICATIONS

- 7.1 Financial – there are none.
7.2 Personnel – there are none.

8 BACKGROUND PAPERS

- 8.1 None

Appendix 1 - IJB's Annual Accounts 2019/20

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DATE	September 2020



East Lothian Integration Joint Board

Audited Annual Accounts 2019/20



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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 1 April 2019 to 31 March 2020 is Audit Scotland, 102 West Port, Edinburgh EH3 9DN.



Management Commentary

Introduction

The management commentary provides an overview of the key messages relating to the role, remit, members, objectives and the strategy of the East Lothian Integration Joint Board (the IJB). The management commentary outlines the key messages in relation to the IJB's financial performance for the year ended 31 March 2020 and how it has supported the delivery of the IJB's priorities. This commentary also considers those issues and risks which we face as we strive to meet the needs of the people of East Lothian.

These accounts cover the period from 1 April 2019 to 31 March 2020.

The Role and Remit of the IJB

The purpose of integration is to improve care and support and therefore the health and wellbeing outcomes for people who use health and social care services. It will make sure that they are listened to, involved and take part in decisions about their care and how it is delivered. It is a significant change in how the strategic planning and delivery of services happens with a range of partners –individuals, local groups and networks, communities and organisations, including patients, service users, carers and the third and independent sectors

The functions delegated to the IJB by East Lothian Council and NHS Lothian are as follows:

- Adult Social Care
- Criminal Justice
- Primary Care Services (GP Practices, Community Dentists, Community Pharmacies and Community Opticians)
- Mental Health Services
- Physical and Learning Disabilities Services
- Community Health Services
- Community Hospital Services
- Unscheduled Care Services (services that are generally delivered from the Royal Infirmary of Edinburgh, the Western General Hospital and St. John's Hospital)

The IJB sets the strategic direction for these delegated functions through the development of a Strategic Plan, to enable it to plan and deliver these strategic outcomes at an overall health and social care level. It gives directions to the council and NHS Lothian for the operational delivery of functions and the resources available to them for this.

The Public Bodies (Joint Working) (Scotland) Act 2014 (the Act) requires Local Authorities and Health Boards to integrate the strategic planning of a substantial number of health services and functions and most social care functions.

East Lothian IJB is an Integration Authority set up under the Public Bodies (Joint Working) Act (2014). It is a 'body corporate', that is a separate legal entity. The IJB is constituted through its Integration Scheme which was prepared by East Lothian

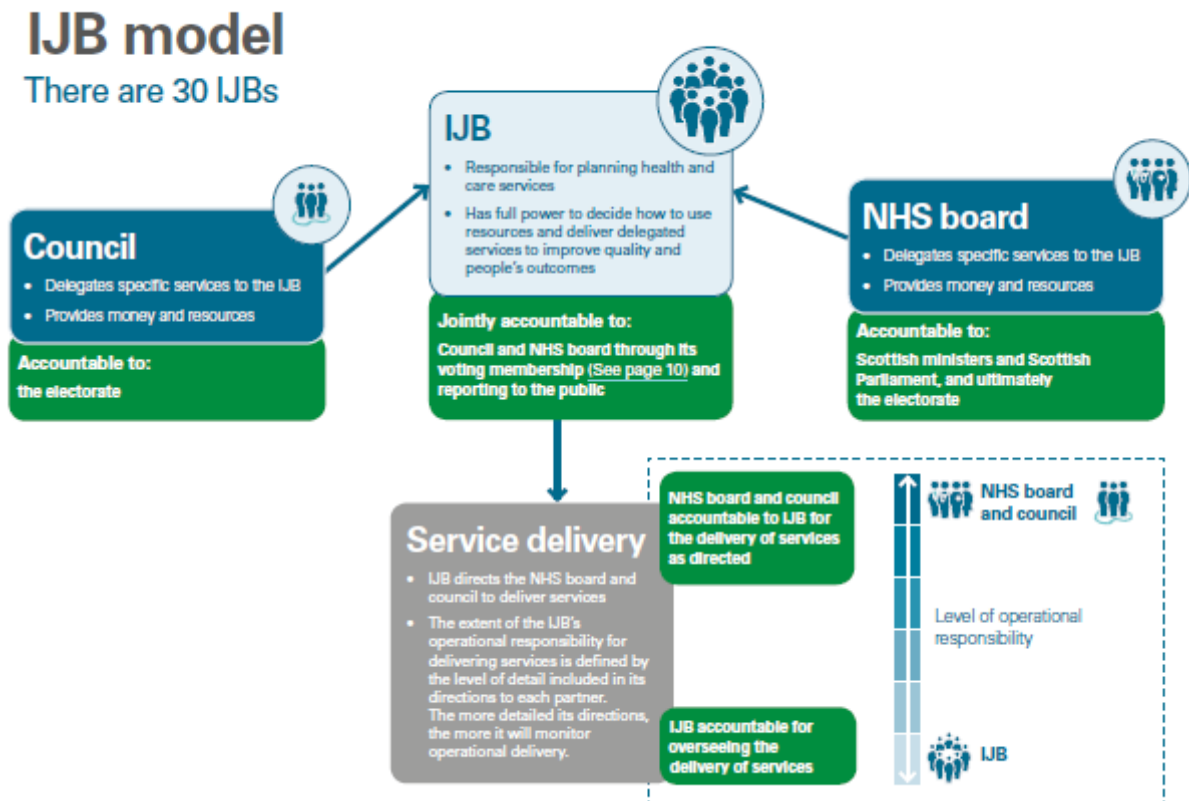


Council and NHS Lothian and presented to Scottish Ministers in March 2015. The Integration Scheme was approved by the Scottish Parliament in June 2015 and the first meeting of the IJB took place on 1 July 2015. The IJB assumed formal responsibility for these functions in April 2016 including the budgets for the delivery of these functions.

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

The IJB model has been reproduced below and illustrates the accountability, decision making and governance structure of the IJB model. This was published in April 2018 by the Accounts Commission in a short report entitled “What is integration?”

What is integration? A short guide to the integration of health and social care services in Scotland | 9



The Strategic Plan

The strategic plan of each IJB must be reviewed and approved by the IJB every 3 years. East Lothian IJB approved its second Strategic Plan on 28 March 2019, this covers April 2019 to March 2022. A link to the plan is below:

https://www.eastlothian.gov.uk/downloads/file/28278/east_lothian_ijb_strategic_plan_2019-22

The 2019-2022 plan takes into account the previous plan and our achievements and continuing challenges. It is based on consideration of the many factors that have an impact on the delivery of health and social care services, the experience of people who access services and assessment of need.

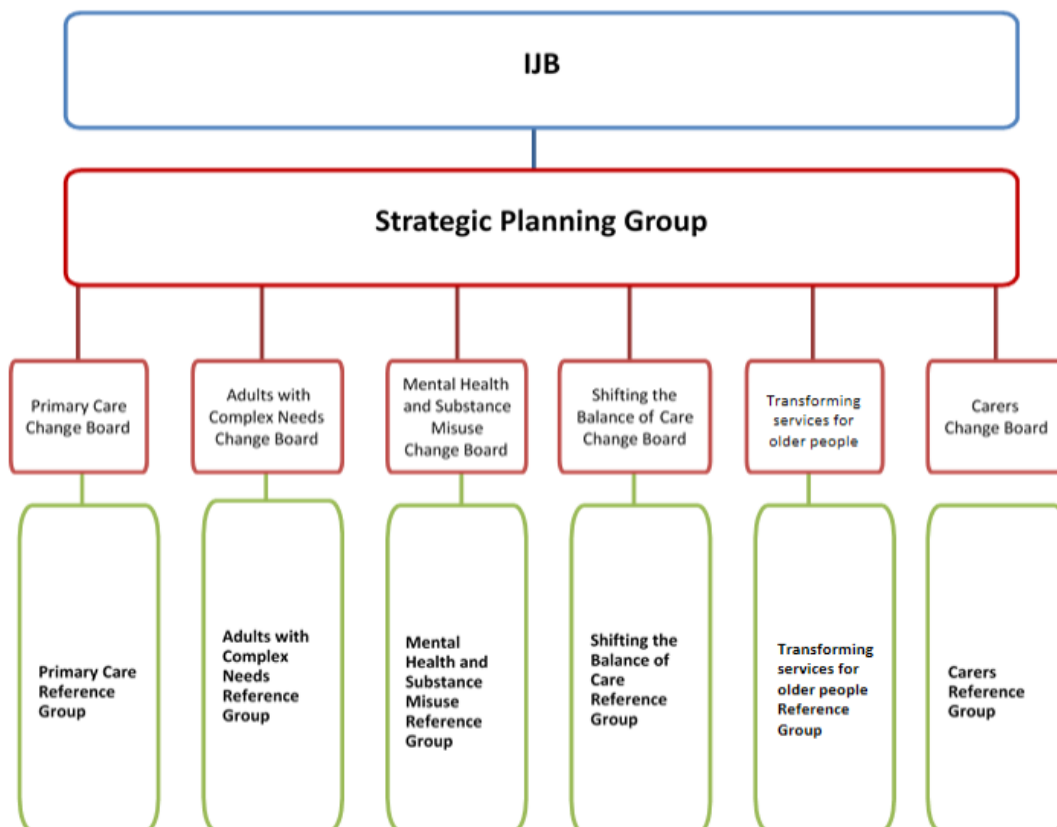


An engagement and consultation process with communities, people who access services, service providers and staff allowed the IJB to hear of, and where possible incorporate, the views and priorities of East Lothian’s communities, partners and stakeholders in this Strategic Plan in order to support service development and delivery.

Engagement also allowed participants to hear about the factors that will guide and may limit the opportunities for service change and development over the lifetime of the Strategic Plan.

East Lothian IJB agreed six strategic priority areas for change. These focus on: primary care, adults with complex needs, adults affected by mental health and substance misuse issues, shifting care from acute hospitals to the community and support to carers.

These six areas, along with our updated Strategic Objectives and a range of ‘Golden Threads’ form the basis of this transformational change supported by this Strategic Plan.



The Strategic Plan is underpinned by a delivery plan to ensure that progress is made to achieve the vision for East Lothian. Change Boards and corresponding reference groups have a key role in progressing the IJB Strategic Plan which facilitate on-going stakeholder involvement in strategic planning and development during 2019-2022.

Throughout all strategic priorities the strategic aims and objectives of the IJB are core. We developed our Strategic Objectives in consultation with our stakeholders.



East Lothian Integration Joint Board – Annual Accounts for the year ended 31 March 2020

They show our commitment to adopting approaches that tailor services to the needs of people and communities while, at the same time, developing efficient and future-proofed service arrangements.

Each Change Board has to take into account in its work key principles or 'Golden Threads'. The Golden Threads are:

- early intervention and prevention
- carers needs
- Self-Directed Support rights
- equality and diversity, including tackling health inequalities and discrimination
- re-ablement/recovery
- needs of people with dementia health promotion
- partnership working
- communication, engagement and involvement
- advocacy
- community justice
- maximising effective use of resources
- use of integrated information technology and technology enabled care; and
- tackling social isolation



There is a requirement on all projects to evidence to their respective Change Board that the Golden Thread commitments have been achieved as part of project delivery.

Regular updates from each Change Board can be found here:

<https://www.edubuzz.org/almac/category/ijb-strategic-plan-and-change-boards/>



IJB Membership

The IJB comprises eight voting members, made up of four elected members appointed by East Lothian Council and four NHS Lothian non-executive directors appointed by NHS Lothian. There are a number of non-voting members of the Board who are advisory members, including the IJB Chief Officer, Chief Finance Officer, and other service and staffing representatives.

The IJB met 9 times during the financial year 2019/20. There have been some changes to the membership of the IJB during 2019/20, the members of the IJB at 31 March 2020 were as follows:

Member	Nominated/Appointed by	Role
Councillor Fiona O'Donnell	Nominated by East Lothian Council	Chair (voting member)
Peter Murray	Nominated by NHS Lothian	Vice-chair (voting member)
Alison Macdonald	Appointed by IJB	Chief Officer (non-voting member)
Claire Flanagan	Appointed by IJB	Chief Finance Officer (non-voting member)
Fiona Ireland	Nominated by NHS Lothian	Voting Member
Alex Joyce	Nominated by NHS Lothian	Voting Member
Dr Patricia Donald (NHS Lothian)	Nominated by NHS Lothian	Voting Member
Councillor Shamin Akhtar	Nominated by East Lothian Council	Voting Member
Councillor Neil Gilbert	Nominated by East Lothian Council	Voting Member
Councillor Sue Kempson	Nominated by East Lothian Council	Voting Member, Chair of Audit & Risk Committee
Vacant (previously post held by Jean Trench)	Appointed by IJB	Independent sector representative (non-voting member)
Paul White *	Appointed by IJB	Third sector representative (non-voting member)
David Binnie	Appointed by IJB	Carer representative (non-voting member)
Marilyn McNeill	Appointed by IJB	Service-user representative (non-voting member)



Member	Nominated/Appointed by	Role
Gourab Choudhury	Appointed by IJB	Medical Consultant (non-voting member)
Lesley White *	Appointed by IJB	ELC Staff Representative (non-voting member)
Judith Tait	Appointed by IJB	Chief Social Work Officer (non-voting member)
Dr Richard Fairclough	Appointed by IJB	General Practitioner (non-voting member)
Thomas Miller	Appointed by IJB	NHS Staff Representative (non-voting member)
Dr Jon Turvill	Appointed by IJB	Clinical Director (non-voting member)
Iain Gorman *	Appointed by IJB	Head of Operations (non-voting member)
Lorraine Cowan *	Appointed by IJB	Chief Nurse (non-voting member)
Philip Conalglan *	Appointed by IJB	Public Health (non-voting member)

Note – all members, except those indicated above as voting members, are non-voting members. * = New IJB Member in 2019/20

Below is the attendance by members of the IJB throughout 2019/20.

Members	25.4.19	23.5.19	27.6.19	29.8.19	11.9.19	31.10.19	5.12.19	27.2.20	26.3.20
Voting									
Shamin Akhtar	X		A	A	X	X	X	X	X
Dr Patricia Donald (replaced Prof. Moira Whyte 1.2.20)	--	--	--	--	--	--	--	X	X
Neil Gilbert	X	X	X	X	X	X	X	X	X
Susan Kempson	X	X	X		X	X	X	X	
Fiona O'Donnell (C)	X	X	X	X	X	X	X	X	X
Fiona Ireland	X	A	X	X	A	A	A	X	X
Alex Joyce	X		X	A	A	A		X	X
Peter Murray	X	A	X	X	X	X	X	X	X
Moira Whyte (left 31.1.20)	X	X	A	A	A	A	X	--	--



Members	25.4.19	23.5.19	27.6.19	29.8.19	11.9.19	31.10.19	5.12.19	27.2.20	26.3.20
Non-voting									
David Binnie	X	X	X	X	X	A	X	X	X
Gourab Choudhury	A		X			A		A	
Philip Conalglan (new 27.2.20)	--	--	--	--	--	--	--		
Lorraine Cowan (new in role of Chief Nurse)	A	A	X	X	X	A	X	A	X
Fiona Duncan (left 25.6.19)	A	X	--	--	--	--	--	--	--
Penny Dutton (left 5.12.19)	X	X	X				--	--	--
Dr Richard Fairclough		A	X	A	A		A	X	X
Claire Flanagan	X	X	X	X	X	X	A	X	X
Iain Gorman (new 31.10 2019)	--	--	--	--	--	X	X	X	X
Elaine Johnston	X	X	X	X	A(s)	X	X	--	--
Alison MacDonald	X	X	X	X	X	X	X	X	X
Marilyn McNeill	X	X	A	X	X	X	X	X	X
Thomas Miller	A	X	X		A	X	X	X	X
Judith Tait (replaced Fiona Duncan as CSWO in 27.6.2019)	X	X	A	A	X		X	X	X
Jean Trench (resigned 31.10.19)	A	A	A	A		--	--	--	--
Dr Jon Turvill	X	X	A	X	X	X	A	A	X
Lesley White (replaced Penny Dutton)	--	--	--	--	--	--	X	A	
Paul White (replaced Elaine Johnston 6.12.19)	--	--	--	--	--	--	--	X	X

Key: Present = X; Apologies = A; Apologies (substitute) = A(s); absent without apology = blank

The IJB's Operations for the Year

East Lothian IJB has now been operational for four years. The governance systems are now well established and good progress is being made on integrating management arrangements and frontline services. We continue to work towards our long-term objectives through the continuing dedication and skill of our staff; our



partners in the voluntary and independent sectors; and all the informal carers and neighbours upon whom the health and care system is entirely dependent.

The work of the Health and Social Care Partnership during 2019-20, under the governance of the IJB is summarised below. However it is important to acknowledge that COVID-19 did disrupt service provision during March 2020 as the Partnership responded to the pandemic. A strategic approach to this was taken and the IJB was involved appropriately. The core components and key developments for 2019-20 are summarised below and further details will be included in the Annual Performance Report. The Annual Performance Report will not be published until August, it has therefore not been possible to include a link to this at this time, but this will be available on the IJB webpage in due course which will include key performance indicators and comparators.

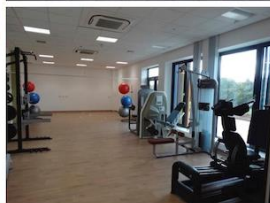
Successful New Services and Approaches

Several new services and approaches have been introduced to improve people's health and wellbeing.

We have continued to make sure people are only in hospital when they need to be through helping them get home sooner with the "Discharge to Assess" Team and the "Hospital at Home" Service.

Community Hospital in Haddington

A major milestone is the opening of the new community hospital in Haddington.



The remainder of the newly completed East Lothian Community Hospital building opened in autumn 2019. This marks the completion of the penultimate phase of construction and follows the successful handover of the Outpatients Department, which has been benefiting patients since March 2018. The final phase will focus on the car park and landscaping, with the entire development expected to be complete in 2020. The completion of the new three-storey, hospital building in Haddington means that patients

and staff will have access to Mental Health services, IV treatment and an increase of inpatient beds as well as other new and existing social care and health services already provided in East Lothian.

Awards for Wellwynd Hub

The Wellwynd Hub in Tranent is a model that provides a wide range of invaluable services for both health and social care needs in a community setting.



East Lothian Council's Housing Team and East Lothian Health and Social Care Partnership secured a top Scottish award for their joint work on the Wellwynd Hub in Tranent. The Chartered Institute of Housing (CIH) Excellence in Health & Wellbeing award focuses on excellence in the areas of fit-for-purpose housing, adaptations and preventative services.



Wellwynd Hub Team with Councillor Norman Hampshire



The Hub came about when East Lothian Health and Social Care Partnership, working with the council's Housing Service, converted a former warden's flat for sheltered housing into a

'dementia friendly' homely setting. The facility in Tranent features smart technology to assist people requiring technology to help with daily tasks such as reminders or turning on lights by voice command. It has transformed services to people requiring occupational therapy, telecare and housing interventions in East Lothian.

It provides awareness sessions for **Telecare and Technology Enabled Care (TEC)** to support staff to find effective solutions for assisting clients with every day activities.

People can be jointly assessed by occupational therapy and physiotherapy and strategies are provided to enable greater independence at home or accessing community resources. Monthly clinics are also held with community housing officers to assess requests for health and housing needs. Referrals are made via the Adult Social Care Community Access Team. It is intended that this will be rolled out across the county, allowing more people to access this unique service at the point of need.



The Hub has made a real and positive difference to people in East Lothian living with dementia and disabilities, and to their carers. Paul who lives with MS and is a regular user of the Hub has made a video for us about how he uses TEC to help him stay independent and get the most of life.

Paul says: 'Just because you have had some trauma in your life, it doesn't mean your life is over. You can change it, keep going forward, embrace change and flourish.' Here is a link to Paul's video message illustrating how this

facility has improved his life: <https://vimeo.com/326316476/f4b9ca5bdd>



Community Justice Self Evaluation

East Lothian community justice partnership requested, with the support of the Care Inspectorate, to undertake a supported and validated self-evaluation. Scheduled activities took place between October 2019 and February 2020. The self-evaluation focussed on three specific quality indicators; “planning and delivering services in a collaborative way”, “effective use and management of resources” and “leadership of strategy and direction”. This work was completed by the entire CJP but was exceptionally well supported by ELHSCP’s Justice Social Work team. The evaluation consisted of several months of evidence gathering followed by a comprehensive review and assessment of the services offered against the standards of each quality indicator. The self-evaluation was well received by the care inspectorate who noted a strong commitment to collaborative working and to developing a well-informed outcome improvement plans. They recognised that East Lothian had examples of effective services being delivered through the collaborative use of resources and agreed with our view that the initial implementation of the community justice agenda had been slowed by changes in senior personnel. The self-evaluation informed an action plan which we will progress in 2020/21.

Collaborative Working for Immediate Care

The Collaborative Working for Immediate Care (CWIC) team was established in Musselburgh Primary Care Centre in 2017 using Primary Care Transformation Funds in order to test approaches to meet same day demand through a Nursing and AHP led team.

This has allowed the Health & Social Care Partnership (HSCP) to assess the role of Nurse Practitioners, Advanced Nurse Practitioners and Advanced Scope Physiotherapists in delivering primary care services. In doing so, this has directed appropriate activity from GPs, one of the desired outcomes of the new General Medical Services (GMS) contract. During 2019/20 this service expanded to cover a further Medical Practice.

Plans for Next Year

During the coronavirus pandemic it became apparent how important the Care Home Team was in supporting care homes. The Care Home Team provides both a clinical and education service to all 18 care homes in East Lothian, helping to improve and enhance the quality of care provided. The Team also provides direct support to 12 of the care homes. This involves nursing expertise, augmented with clinical decision making and prescribing – this has led to more seamless Ongoing and Acute care. There are plans to expand the Care Home Team to cover all Care Homes in East Lothian. Here is a link to a video that explains how the Care Home Team model works: <https://vimeo.com/215801376>

Mental Health services have been redesigned to give all citizens in East Lothian access to services. As a result of coronavirus and the resulting lockdown measures, there was a need to ensure that individuals across East Lothian had equitable access to Primary Care Mental Health support to promote health and well-being. An integrated team of Mental Health Occupational Therapists and Community Mental Health teams was formed from existing staff to support the development of a single Primary Care Mental Health pathway. The service supports individuals over 18 years old who are not already supported from existing secondary care Mental Health



services. Individuals can access the service directly through a single phone line or be referred from their GP Practice or other community agencies. Individuals are provided with a call back from a specialist Mental Health Practitioner within 36 hours who is able to support them to develop an individual care plan, which may involve further referral to community based support or secondary care services.

We must acknowledge the huge challenges we face due to the coronavirus pandemic and the impact the virus had on many East Lothian families. As well as presenting a tremendous challenge to our services, the crisis also creates an opportunity to build on existing and newly forming community connections. Early plans are developing, working with the people in our communities to explore what opportunities for community resilience can be developed during the crisis to ensure strong, sustainable, supportive communities into the future. We look forward to building a stronger East Lothian.

The IJB's Position at 31 March 2020

For the year ending 31 March 2020, the IJB was underspent. That is, the costs incurred in delivering the IJB's functions by East Lothian Council and NHS Lothian are less than the income that the IJB received from NHS Lothian and East Lothian Council.

The year-end position was arrived at as follows:

	Funding	Expenditure	Surplus
	£000	£000	£000
Health	124,533	123,732	801
Social Care	47,284	47,459	(175)
Total	171,817	171,191	626

This surplus has been transferred to the IJBs reserve which is described further below.

Although the IJB has a range of functions delegated to it, these are delivered through a range of services provided by the partners (East Lothian Council and NHS Lothian) and these are further described below in the analysis of the Income and Expenditure position.

Analysis of the Financial Statements

The financial statements are all presented on a net basis.

The table below summarises the income and expenditure for the IJB for 2019/20.



Income and Expenditure

	Budget	Budget	Expenditure	Expenditure	Variance	Note
	Health	Social	Health	Social Care		
	£000	Care	Health	Care	£000	
		£000	£000	£000	£000	
Direct East Lothian Services						
Community AHPs	3,418		3,295		123	
Community Hospitals	10,814		9,953		861	
District Nursing	2,399		2,393		6	
General Medical Services	16,206		16,550		(344)	
Health Visiting	1,835		1,625		210	
Mental Health	5,683		5,681		2	
Other	5,891		5,491		400	
Prescribing	20,944		21,031		(87)	
Resource Transfer	3,226		3,226		0	1
Older People		25,351		24,049	1,302	
Mental Health		1,592		1,757	(165)	
Physical Disabilities		3,274		3,321	(47)	
Learning Disabilities		15,856		17,363	(1,507)	
Planning and Performance		2,828		2,663	165	
Other		4,599		4,522	77	
East Lothian Share of pan Lothian						
Set Aside	21,663		22,118		(455)	2
Mental Health	2,269		2,383		(114)	
Learning Disabilities	1,620		1,799		(179)	
GP Out of Hours	1,449		1,544		(95)	
Rehabilitation	560		513		47	
Sexual Health	769		772		(3)	
Psychology	871		890		(19)	
Substance Misuse	530		501		29	
Allied Health Professions	1,462		1,419		43	
Oral Health	2,085		2,048		37	
Other	2,939		2,600		339	
Dental	6,134		6,134		0	3
Ophthalmology	2,042		2,042		0	3
Pharmacy	3,509		3,509		0	3
Totals *	118,317	53,500	117,516	53,675	626	
Social Care Fund	6216	(6216)	6216	(6216)		4
Per Accounts	124,533	47,284	123,732	47,459		

(* Due to roundings the Totals for Health are out by £1k when summing the individual budget and expenditure lines.)



Income & Expenditure Notes

1. Resource Transfer are funds for specific purposes which are transferred from health to social care. However, these remain part of the health budget and are reported there.
2. Set Aside is the budget for those functions delegated to the IJB which are managed by the Acute Services management teams within NHS Lothian;
These services are:
 - Accident and Emergency
 - Cardiology
 - Diabetes
 - Endocrinology
 - Gastroenterology
 - General Medicine
 - Geriatric Medicine
 - Rehabilitation Medicine
 - Respiratory Medicine
 - Various ancillary support services for the above.

These services are delivered at the Royal Infirmary of Edinburgh, the Western General Hospital and St. John's Hospital.

3. In the Health system, expenditure to support the delivery of community dentistry, community opticians and community pharmacists is termed as 'non cash limited' (NCL) but is clearly part of the delivery of primary care services and these functions are delegated to the IJB. However, being NCL there is no budget as such but any expenditure incurred is supported in its entirety by the Scottish Government. The NCL values are not part of the budget setting process, there being no budget, but NHS Lothian has matched the NCL expenditure with income to cover this expenditure.
4. The Social Care Fund (SCF) is a resource which the Scottish Government has directed to the IJB through NHS Lothian and is shown as health funds in the accounts. However, these funds are then transferred to the Council and used to support the delivery of social care services and the analysis above reflects this.

The charges (shown as expenditure above) 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 (those services specifically for and delivered by the East Lothian HSCP) 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 2019/20 for hosted services is 12% and, generally, 12% of the Lothian element of the set aside budgets and the non-cash limited budgets.



Overview of the 2019/20 position

From the above table, it can be seen that there were a range of financial issues identified.

Direct East Lothian Services

Within the health budgets although there were operational overspends within General Medical Services and Prescribing these were offset by vacancies across the system, reduction in staffing requirements associated with the ward redesign and slippage of programmes (Programmes starting later in the year than planned and thus generating an underspend).

Within the social care budgets the pressures lay within increased demand for commissioned care services, particularly clients with Learning and Physical Disabilities. Transport costs continue to be a pressure area.

East Lothian Share of Pan-Lothian Services

The main pressures in the health budgets are:

The hosted services position highlights overspends within Learning Disability services due to additional beds and placements being required above funded levels. A similar issue existed with regards to Mental Health services requiring additional capacity in year to cope with high demand. Lothian Out of Hours Services also reported a pressure in year related to the high cost of medical staffing required to cover rosters especially around the festive period.

The main pressures within health Set Aside budgets are noted below, the Set Aside budget, delegated to the IJB, performs services provided by large hospitals on behalf of the IJB. As a reminder, [Appendix 1](#) illustrates the principal of Set Aside.

General Medicine areas reported a pressure in year driven by ongoing staffing issues, where recruitment continues to be a challenge, plus ongoing bed pressures across the other sites. Infectious Diseases financial pressure in year relates to drug costs exceeding budget levels.

Junior Medical pay pressure was driven by additional staffing requested to cover rotas for sickness; maternity and vacancies, causing an over-establishment against funded levels in particular within A&E areas. The position has improved from the previous year but still remains a pressure.

Reserves

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

The IJB is permitted to set aside future amounts of reserves for future policy purposes. These reserves normally comprise funds that are set aside for specific purposes; and funds which are not earmarked for specific purposes but are set aside to deal with unexpected events or emergencies.



East Lothian Integration Joint Board – Annual Accounts for the year ended 31 March 2020

The IJB has reserves at the end of 2019/20 of £2.398m, compared to reserves of £1.772m in March 2019. The movement can be described below.

The IJB's only Unuseable Reserve is the Employee Statutory Adjustment Account. This is required by legislation. The IJB's useable reserve is broken down as follows:

	2019/20 Opening £000	2019/20 Movement £000	2019/20 Closing £000
Committed Project Funds			
PCIF	219	16	235
Action 15	164	(114)	50
MELDAP	312	(312)	-
Commitment to Local Programmes	-	320	320
Committed Project Funds	695	(90)	605
General Reserves	1,077	716	1,793
Total Reserves	1,772	626	2,398

The IJB's Strategy and Business Model

The actions outlined in the Strategic Plan form the basis of more detailed plans for client groups and key services. They also form the basis of the Directions we give to NHS and East Lothian Council and enables us to set out the following strategic aims.

Engagement is key to everything that we do and the purpose of this strategy is to ensure that:

- we have a clear and effective participation and engagement approach which is at the heart of reforming health and social care services locally
- enables the Partnership's vision and how it works to become a reality
- informs decision making processes that drive strategy and inform the carrying out of delegated functions.



East Lothian IJB is committed to ensuring that services:

- are joined-up for service-users
- take account of the particular needs of individual service-users and their circumstances in different parts of the county
- improve the quality of our services and ensure that they are planned and delivered locally in a way that is engaged with our communities
- make the best use of the available facilities, people and other resources.

The IJB's remit and goals are laid out in the IJB's Strategic Plan.

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 within the financial resources available.

There remain a series of uncertainties:

- There is an underlying financial pressure within the social care budgets as discussed above and the management of this pressure is being addressed in the IJB's 2020/21 financial plan.
- The increasing population in East Lothian remains a challenge which may exacerbate the staffing and financial pressures above.



East Lothian Integration Joint Board – Annual Accounts for the year ended 31 March 2020

- 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.
- That said, the Scottish Government have announced a series of investments in Primary Care, Mental Health and Substance misuse all of which will be directed to the IJB and these resources will support not only the delivery of the new GMS contract but also the transformation programme that the IJB is managing for these services.
- The coronavirus pandemic resulted in a disruption for many services. Partners are actively working on how services can adapt and resume in this new environment following our response to this pandemic. Whilst the short, medium and long term impacts of the pandemic remain uncertain, there is little doubt that significant financial challenges lay ahead.
- The financial cost of responding to the pandemic has been, and will continue to be, significant. Where remobilisation requires changes to how services are delivered, additional expenditure is likely to be required. As this is a developing situation, it is difficult to anticipate the budgetary implications.
- The current fragility of provider organisations in the home care and care homes sector may require action and investment to secure sustainability in these important services

Fiona O'Donnell
Chair

Alison MacDonald
Chief Officer

Claire Flanagan
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 finance 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 Integration Joint Board.

Signed on behalf of East Lothian Integration Joint Board

Fiona O'Donnell

Chair



Responsibilities of the Chief Finance Officer

The Chief Finance 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 Finance 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 Finance 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 2020 and the transactions for the year then ended.

Claire Flanagan
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 2019/20.

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. That is they are paid a fixed annual amount which is considered to represent payment for one day a week. Those non-executive members of the NHS Lothian Board, who are also Chairs or Vice Chairs of IJBs, are given an additional day's remuneration per week in recognition of the additional time required to undertake those roles. Peter Murray, as a non-executive member of NHS Lothian Board who was also the Vice Chair of East Lothian IJB, has received an additional day's remuneration specifically for his role as Chair of the IJB in 2019/20. This remuneration is £8,584 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 Alison MacDonald. Alison has a joint role as Director of Health and Social Care for East Lothian Council and the Joint Director of the East Lothian Partnership. As in previous years it has been agreed, 50% of total remuneration is to be shown in the accounts of the IJB as the remuneration as the Chief Officer of the IJB.

Chief Finance Officer

The Chief Finance Officer of the IJB is Claire Flanagan. Although the costs of the Chief Finance Officer are not included in the charges made to the IJB by either partner, given the S95 role of the Chief Finance Officer and in the interests of transparency the remuneration of the Chief Finance Officer is included below. The Chief Finance Officer is employed by NHS Lothian and has three roles – the IJB’s Chief Finance Officer, the Chief Finance Officer of Midlothian IJB and an operational role in the NHS Lothian finance team as a Finance Business Partner. On that basis, one third of the total remuneration is shown below.

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 for 2018/19 £	Senior Employees Salary, Fees & Allowances	Total for 2019/20 £
33,273	Alison MacDonald, Chief Officer	48,004
11,030	Claire Flanagan, Chief Finance Officer	23,781
16,104	David King, Chief Finance Officer	n/a
13,920	David Small, Chief Officer	n/a

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.

Pension Disclosure

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	
	For year to 31/03/2020 £000	For year to 31/03/2019 £000		at 31/03/2020 £000	at 31/03/2019 £000
Alison MacDonald	13	12	Pension	21	18
			Lump Sum	37	34
Claire Flanagan	9	8	Pension	13	11
			Lump Sum	24	22
David King	n/a	7	Pension	n/a	37
			Lump Sum	n/a	110
David Small	n/a	15	Pension	n/a	47
			Lump Sum	n/a	142

Disclosure by Pay Bands

Pay band information is not separately disclosed as all staff pay information has been disclosed in the information above.

Exit Packages

The IJB did not support nor did it direct to be supported by its partners for any exit packages during 2019/20.

Fiona O'Donnell
Chair

Alison MacDonald
Chief Officer



Annual Governance Statement

Purpose

The annual governance statement lays out how East Lothian Integration Joint Board (the IJB) complies with the Code of Corporate Governance and sets out the framework within which the IJB has put in place proper financial and governance arrangements for the conduct of its business affairs. This will facilitate the effective exercise of its functions, ensuring that appropriate arrangements are in place for the management of risk and that appropriate systems of internal control are in place.

Scope of Responsibility

East Lothian Integration Joint Board is responsible for ensuring that its business is conducted in accordance with the law and proper standards. This is to allow the 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 the Chief Finance Officer, are responsible for the governance of the business affairs of the IJB. This includes setting the strategic direction, vision, culture and values of the IJB and establishing appropriate and cost effective systems, processes and internal controls to allow the strategic objectives to be delivered.

In order to achieve this, the IJB follows the principles of corporate governance based on the CIPFA/SOLACE Framework and Guidance on 'Delivering Good Governance in Local Government'.

The Local Code of Corporate Governance details 7 core principles which are supported by 20 sub-principles and 91 behaviours and actions that demonstrate good governance. Elements of good governance included are:

- Ensuring Board and Committees members behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the IJB
- Creating the conditions to ensure that all IJB members and the IJB's partners (East Lothian Council and NHS Lothian) are able to fulfil their responsibilities in accordance with legislative and regulatory requirements
- Having a clear vision, which is an agreed formal statement of the IJB's purpose and intended outcome which provide the basis for the IJB's overall strategy, planning and other decisions
- Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources and to ensure best value is achieved
- Evaluating and monitoring risk management and internal control on a regular basis
- Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the IJB's Chief Internal Auditor
- Ensuring an audit committee, which is independent of the Board and accountable to the IJB, provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment and that its recommendations are listened to and acted upon



East Lothian Integration Joint Board – Annual Accounts for the year ended 31 March 2020

- Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and providing an Annual Report which includes an action plan for improvement and evidence to demonstrate good governance (the annual governance statement)
- Ensuring that recommendations for corrective action made by the external auditor are acted upon.

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.

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 Board, the Strategic Planning Group, and the Audit and Risk Committee
- The annual assurances that are provided by the IJB Chief Officer and the Chief Finance Officer
- The IJB Chief Internal Auditor's annual assurance report which is based on internal audit work completed during the year
- Reports from the IJB's external auditor
- Reports from other external review bodies, agencies and inspectorates.

The key governance arrangements and controls are set out in the Local Code of Corporate Governance.

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 its inaugural meeting. They comply with statutory requirements
- Committees - the Board has established an Audit and Risk Committee with a detailed remit and 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. 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 the functions delegated by East Lothian Council and NHS Lothian, and 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
- Code of Conduct - pending finalisation of arrangements for a revised Code of Conduct for Members, the Board adopted an Interim Code based on the existing Model Code for Members of Devolved Public Bodies in Scotland, and members have registered their interests according to that Code. The Scottish Government approved the IJB's Code of Conduct on 1 June 2016.

The IJB Chief Internal Auditor has responsibility for the provision of Internal Audit services to the East Lothian IJB and reports functionally to the IJB Audit and Risk Committee to allow appropriate independence. The IJB Chief Internal Auditor is professionally qualified and suitably experienced to lead and direct the Internal Audit team.

The IJB Chief Internal Auditor concluded that based on the work undertaken in 2019/20 that reasonable assurance can be placed on overall adequacy and effectiveness of the IJB's framework of governance, risk management and control for the period to 31 March 2020, but noted areas for further development. These improvements are reflected below.

Action Plan

During 2019/20, areas identified with scope for improvement included the following:

- Monitoring of Direction setting to ensure Directions covering all devolved functions for the IJB are reviewed to ensure that all Directions are formally included within the new Change Board governance structures;
- Consistency in the development of Change Board terms of reference and a clear methodology for identifying and assigning the Golden Threads to the Change Board projects; and
- A review of the arrangements in place for projecting social care expenditure growth in the later years of the financial plan.

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.

It is our opinion, subject to the weaknesses outlined 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 year to 31 March 2020.



Fiona O'Donnell
Chair of the IJB

Alison MacDonald
Chief Officer



Independent auditor's report

Independent auditor's report to the members of the East Lothian Integration Joint Board and the Accounts Commission

Report on the audit of the financial statements

Opinion on financial statements

I certify that I have audited the financial statements in the annual accounts of the East Lothian Integration Joint Board for the year ended 31 March 2020 under Part VII of the Local Government (Scotland) Act 1973. The financial statements comprise the Comprehensive Income and Expenditure Statement, Movement in Reserves Statement, Balance Sheet, and Notes to the Financial Statements, including a summary of significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and International Financial Reporting Standards (IFRSs) as adopted by the European Union, and as interpreted and adapted by the Code of Practice on Local Authority Accounting in the United Kingdom 2019/20 (the 2019/20 Code).

In my opinion the accompanying financial statements:

- give a true and fair view in accordance with applicable law and the 2019/20 Code of the state of affairs of the East Lothian Integration Joint Board as at 31 March 2020 and of its income and expenditure for the year then ended;
- have been properly prepared in accordance with IFRSs as adopted by the European Union, as interpreted and adapted by the 2019/20 Code; and
- have been prepared in accordance with the requirements of the Local Government (Scotland) Act 1973, The Local Authority Accounts (Scotland) Regulations 2014, and the Local Government in Scotland Act 2003.

Basis for opinion

I conducted my audit in accordance with applicable law and International Standards on Auditing (UK) (ISAs (UK)), as required by the [Code of Audit Practice](#) approved by the Accounts Commission for Scotland. My responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of my report. I was appointed under arrangements approved by the Accounts Commission on 10 April 2017. The period of total uninterrupted appointment is four years. I am independent of the East Lothian Integration Joint Board in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. Non-audit services prohibited by the Ethical Standard were not provided to the East Lothian Integration Joint Board. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Conclusions relating to going concern basis of accounting

I have nothing to report in respect of the following matters in relation to which the ISAs (UK) require me to report to you where:

- the use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the Chief Finance Officer has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the East Lothian Integration Joint Board's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.



Risks of material misstatement

I report in a separate Annual Audit Report, available from the [Audit Scotland website](#), the most significant assessed risks of material misstatement that I identified and my conclusions thereon.

Responsibilities of the Chief Finance Officer and the Audit and Risk Committee for the financial statements

As explained more fully in the Statement of Responsibilities, the Chief Finance Officer is responsible for the preparation of financial statements that give a true and fair view in accordance with the financial reporting framework, and for such internal control as the Chief Finance Officer determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Chief Finance Officer is responsible for assessing the East Lothian Integration Joint Board's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

The Audit and Risk Committee is responsible for overseeing the financial reporting process.

Auditor's responsibilities for the audit of the financial statements

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, intentional omissions, misrepresentations, or the override of internal control. The capability of the audit to detect fraud and other irregularities depends on factors such as the skilfulness of the perpetrator, the frequency and extent of manipulation, the degree of collusion involved, the relative size of individual amounts manipulated, and the seniority of those individuals involved. I therefore design and perform audit procedures which respond to the assessed risks of material misstatement due to fraud.

A further description of the auditor's responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website www.frc.org.uk/auditorsresponsibilities. This description forms part of my auditor's report.

Other information in the annual accounts

The Chief Finance Officer is responsible for the other information in the annual accounts. The other information comprises the information other than the financial statements, the audited part of the Remuneration Report, and my auditor's report thereon. My opinion on the financial statements does not cover the other information and I do not express any form of assurance conclusion thereon except on matters prescribed by the Accounts Commission to the extent explicitly stated later in this report.

In connection with my audit of the financial statements, my responsibility is to read all the other information in the annual accounts and, in doing so, consider whether the other information is materially inconsistent with the financial statements or my knowledge obtained in the audit or otherwise appears to be materially misstated. If I identify such material inconsistencies or apparent material misstatements, I am required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work I have performed, I conclude that there is a material



misstatement of this other information, I am required to report that fact. I have nothing to report in this regard.

Report on other requirements

Opinions on matters prescribed by the Accounts Commission

In my opinion, the audited part of the Remuneration Report has been properly prepared in accordance with The Local Authority Accounts (Scotland) Regulations 2014.

In my opinion, based on the work undertaken in the course of the audit:

- the information given in the Management Commentary for the financial year for which the financial statements are prepared is consistent with the financial statements and that report has been prepared in accordance with statutory guidance issued under the Local Government in Scotland Act 2003; and
- the information given in the Annual Governance Statement for the financial year for which the financial statements are prepared is consistent with the financial statements and that report has been prepared in accordance with the Delivering Good Governance in Local Government: Framework (2016).

Matters on which I am required to report by exception

I am required by the Accounts Commission to report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the audited part of the Remuneration Report are not in agreement with the accounting records; or
- I have not received all the information and explanations I require for my audit.

I have nothing to report in respect of these matters.

Conclusions on wider scope responsibilities

In addition to my responsibilities for the annual accounts, my conclusions on the wider scope responsibilities specified in the Code of Audit Practice, including those in respect of Best Value, are set out in my Annual Audit Report.

Use of my report

This report is made solely to the parties to whom it is addressed in accordance with Part VII of the Local Government (Scotland) Act 1973 and for no other purpose. In accordance with paragraph 120 of the Code of Audit Practice, I do not undertake to have responsibilities to members or officers, in their individual capacities, or to third parties.

Gillian Woolman (MA, FCA, CPFA)
Audit Scotland
102 West Port
Edinburgh
EH3 9DN



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 the Movement in Reserves Statement.

2018/19			2019/20
Net Expenditure		Note	Net Expenditure
£000			£000
2,641	Community AHPS		3,295
8,465	Community Hospitals		9,953
2,269	District Nursing		2,393
15,491	General Medical Services		16,550
1,450	Health Visiting		1,625
6,357	Mental Health		7,437
8,838	Other		10,013
20,762	Prescribing		21,031
3,227	Resource Transfer		3,226
23,924	Older People		24,049
3,083	Physical Disabilities		3,321
15,328	Learning Disabilities		17,363
2,587	Planning and Performance		2,663
24,918	Share of pan Lothian Health Services		26,154
20,477	Set Aside		22,118
159,817	Cost of Services		171,191
161,589	Taxation and Non-Specific Grant Income	6	171,817
1,772	Surplus or (Deficit) on Provision of Services		626
1,772	Total Comprehensive Income and Expenditure		626



Movement in Reserves Statement

This Statement shows the movement in the year on the different reserves held by the East Lothian IJB

	2018/19 Total £000	2019/20 Movement £000	2019/20 Total £000
General Reserves			
Surplus on Provision of Service	1,077	716	1,793
Earmarked Reserves			
Surplus on Provision of Service	695	(90)	605
Total Usable reserves	1,772	626	2,398
Unusable Reserve			
Employee Statutory Adjustment Account	0	0	0
Balance as at 31 March 2020	1,772	626	2,398

Reserves

The reserves are classified as either Useable or Unusable Reserves

The Integration Joint Board is permitted to set aside future amounts of reserves for future policy purposes. These reserves normally comprise funds that are set aside for specific purposes; and funds which are not earmarked for specific purposes but are set aside to deal with unexpected events or emergencies. They are created by appropriating amounts out of revenue balances. When expenditure to be funded from a reserve is incurred, it is charged to the appropriate service in that year and thus included in the Comprehensive Income and Expenditure Statement. Movements in reserves are reported in the Movement in Reserves Statement.

Useable Reserves

East Lothian IJB has both a general reserve which can be used to mitigate financial consequences of risks and other events impacting on the IJB's resources and an earmarked reserve the monies within this fund are earmarked for specific purposes. East Lothian IJB has an earmarked reserve which can be used to mitigate financial consequences of risks and other events impacting on the specific project budget. The monies within this being the Primary Care Improvement Fund, the Action 15 funding to support implementation of Scottish Government's Mental Health Strategy and other locally committed programmes.

Earmarked Reserves	£000
Primary Care Improvement Fund	235
Action 15 - Scottish Government Mental Health Strategy	50
Locally Committed programmes	320
Committed Project Funds	605



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In addition to the Earmarked reserves held by East Lothian IJB, there is another £126k in respect of Primary Care Improvement Funding that is held by Scottish Government.

Unusable Reserve

East Lothian IJB's only unusable reserve is the Employee Statutory Adjustment Accounts which is required by legislation.



Balance Sheet

The Balance Sheet shows the value, as at 31 March 2020, of the assets and liabilities recognised by the Board. The net assets of the Board are matched by the reserves held.

2018/19		Notes	2019/20
Total			Total
£000			£000
	Current Assets		
1,772	Short Term Debtors		2,573
	Current Liabilities		
0	Short Term Creditors		(175)
1,772	Total Assets less current Liabilities		2,398
	Capital and Reserves		
695	Earmarked Reserves		605
1,077	General Reserves		1,793
1,772	Total Reserves	MIRS	2,398
		Note 5	

The unaudited accounts were issued on 30/06/2020 and the audited accounts were authorised for issue on 17/09/2020.

Claire Flanagan
Chief Finance Officer



Notes to the Financial Statements

1. Significant Accounting Policies

General Principles

The Financial Statements summarises the IJB's transactions for the 2019/20 financial year and its position at the year-end of 31 March 2020.

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 2019/2020, 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 principles 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 partner. Consequently the IJB does not present a 'Cash and Cash Equivalent' figure on the Balance Sheet.



The funding balance due to or from each funding partner as at 31 March is represented as a debtor or creditor on the IJB's Balance Sheet. 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.

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.

The IJB has no provisions, contingent liabilities or contingent assets at 31 March 2020.

Reserves

The IJB's reserves are classified as either Useable or Unuseable Reserves.

The IJB's only Useable 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 had reserves of £2,398,000 at 31 March 2020.

The IJB's only Unuseable 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 2019/20 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’ opinion 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 2020 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. The IJB has not had any claims made against it in 2019/20 nor is it aware of any claims pending. However, 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. 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 2020, the figures in the financial statements and notes have been adjusted in all material respects to reflect the impact of this information.

4. Short Term Debtors

The IJBs short term debtors are broken down as follows:

	2018/19	2019/20
	£000	£000
Funding due from NHS Lothian	1,471	2,272
Funding due from East Lothian Council	301	126
Total	1,772	2,398

Amounts owed by the East Lothian Council is stated on a net basis; that is the creditor balances relating to expenditure obligations incurred but not yet settled in cash terms are offset against the funds they are holding on behalf of the IJB.

5. Reserves

The IJB's useable reserve is broken down as follows:

	2018/19	2019/20
	£000	£000
Earmarked Reserves		
Scottish Government Mental Health Strategy - Action 15	164	50
Scottish Government Primary Care Improvement Plan Fund	219	235
Midlothian and East Lothian Drug and Alcohol Partnership	312	-
Locally Committed Programmes		320
	695	605
General Reserves	1,077	1,793
Total Reserves	1,772	2,398

In addition to these reserves the Scottish Government are holding £126k for the Primary Care Improvement Plan.

6. Taxation and Non-Specific Grant Income

2018/19		2019/20
£000		£000
45,058	Contributions from East Lothian Council	47,284
116,531	Contributions from NHS Lothian	124,533
161,589	Total	171,817

The contributions received by East Lothian IJB represent the funding provided by the Partners (East Lothian Council and NHS Lothian).



The funding contribution from the NHS Board shown above includes £21,663k in respect of the set aside resources and £26,239k in respect of East Lothian's share of pan Lothian health services resources.

Corporate Service

Included in the above costs are the following corporate services:

2018/19		2019/20
£000		£000
47	Staff (Chief Officer)	48
6	CNORIS	6
25	Audit Fee	26
78	Total	80

7. 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.

2018/19		2019/20
Net Expenditure		Net Expenditure
£000		£000
115,060	NHS Lothian	123,732
(3,226)	Resource Transfer	(3,226)
(6,216)	Social Care Fund	(6,216)
105,618	Total	114,290
44,757	East Lothian Council	47,459
3,226	Resource Transfer	3,226
6,216	Social Care Fund	6,216
54,199	Total	56,901

Both Resource Transfer and the Social Care fund are resources which are part of the NHS Lothian Budget and are shown as expected there in but these funds are used to deliver social care service supplied by East Lothian Council.

8. VAT

The IJB is not a taxable entity 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.



Appendix 1

Set Aside budget relates to services provided by large hospitals on behalf of the IJB. The principle is illustrated in the diagram below.

What is a set aside budget?

The budgets of integration authorities (IAs) are composed of two elements:

- Social care
- Health care – including primary and community healthcare, as well as some hospital care

The majority of integration authorities (IAs) have a 'set aside' budget. This relates to unscheduled acute hospital care.

How is the set aside budget agreed?

When setting the budget, the integration authority agrees with the NHS health board partner how much it expects to need for unscheduled acute hospital care. To do this, the partners use hospital data on levels of activity.

For IAs using the "set aside" approach, the agreed amount remains within the NHS rather than being paid to the IA (like the rest of the NHS contribution). This "set aside" budget should still remain under the control of the IA.



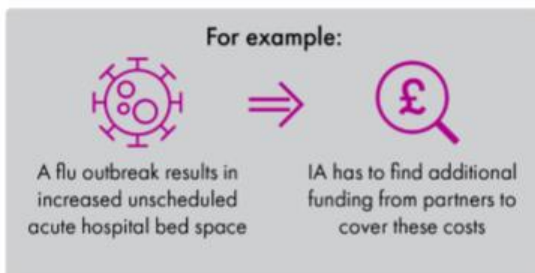
What can change the set aside budget?

In year

During the year, actual **unscheduled acute activity** might be higher or lower than anticipated.

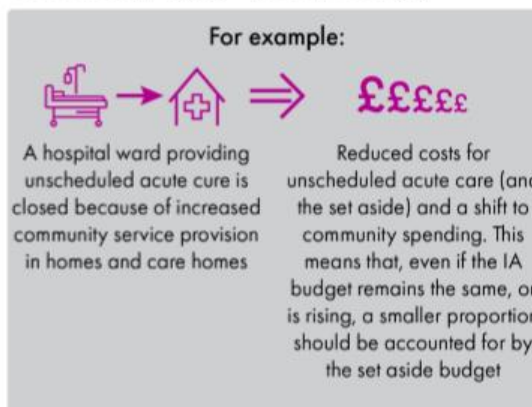
If activity is higher, the IA needs to agree with partners how these additional costs will be met.

If activity is lower, the IA should be able to decide how to spend the difference between actual and anticipated costs.



Longer term

Over the longer term, changes to how services are delivered should also be aimed at reducing demand for unscheduled acute care and – in turn – the set aside budget.



Source - Scottish Government Health and Sport Committee report in October 2019 "Looking ahead to the Scottish Government Health Budget 2020-21: When is hospital bad your health? "

East Lothian Integration Joint Board Audit and Risk Committee

15 September 2020

East Lothian Integration Joint Board Audit of 2019/20 annual accounts

3a

Independent auditor's report

1. Our audit work on the 2019/20 annual accounts is now substantially complete. We anticipate being able to issue unqualified audit opinions in the independent auditor's report on 17 September 2020 (the date of the board), the proposed report is attached at [Appendix A](#).

Annual audit report

2. Under International Standards on Auditing in the UK, we report specific matters arising from the audit of the financial statements to those charged with governance of a body in sufficient time to enable appropriate action. We present for the East Lothian Integration Joint Board's Audit and Risk Committee consideration our draft annual report on the 2019/20 audit.
3. The report also sets out conclusions from our consideration of the four audit dimensions that frame the wider scope of public audit as set out in the Code of Audit Practice.
4. This report will be issued in final form after the annual accounts have been certified.

Unadjusted misstatements

5. We also report to those charged with governance all unadjusted misstatements which we have identified during the course of our audit, other than those of a trivial nature and request that these misstatements be corrected.
6. We have no unadjusted misstatements to be corrected.

Representations from Chief Finance Officer

7. As part of the completion of our audit, we are seeking written representations from the Chief Finance Officer on aspects of the annual accounts, including the judgements and estimates made.
8. A draft letter of representation is attached at [Appendix B](#). This should be signed and returned to us by the Proper Officer with the signed annual accounts prior to the independent auditor's report being certified.

APPENDIX A: Proposed Independent Auditor's Report

Independent auditor's report to the members of the East Lothian Integration Joint Board and the Accounts Commission

Report on the audit of the financial statements

Opinion on financial statements

I certify that I have audited the financial statements in the annual accounts of the East Lothian Integration Joint Board for the year ended 31 March 2020 under Part VII of the Local Government (Scotland) Act 1973. The financial statements comprise the Comprehensive Income and Expenditure Statement, Movement in Reserves Statement, Balance Sheet, and Notes to the Financial Statements, including a summary of significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and International Financial Reporting Standards (IFRSs) as adopted by the European Union, and as interpreted and adapted by the Code of Practice on Local Authority Accounting in the United Kingdom 2019/20 (the 2019/20 Code).

In my opinion the accompanying financial statements:

- give a true and fair view in accordance with applicable law and the 2019/20 Code of the state of affairs of the East Lothian Integration Joint Board as at 31 March 2020 and of its income and expenditure for the year then ended;
- have been properly prepared in accordance with IFRSs as adopted by the European Union, as interpreted and adapted by the 2019/20 Code; and
- have been prepared in accordance with the requirements of the Local Government (Scotland) Act 1973, The Local Authority Accounts (Scotland) Regulations 2014, and the Local Government in Scotland Act 2003.

Basis for opinion

I conducted my audit in accordance with applicable law and International Standards on Auditing (UK) (ISAs (UK)), as required by the [Code of Audit Practice](#) approved by the Accounts Commission for Scotland. My responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of my report. I was appointed under arrangements approved by the Accounts Commission on 10 April 2017. The period of total uninterrupted appointment is four years. I am independent of the East Lothian Integration Joint Board in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. Non-audit services prohibited by the Ethical Standard were not provided to the East Lothian Integration Joint Board. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Conclusions relating to going concern basis of accounting

I have nothing to report in respect of the following matters in relation to which the ISAs (UK) require me to report to you where:

- the use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the Chief Finance Officer has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the East Lothian Integration Joint Board's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

Risks of material misstatement

I report in a separate Annual Audit Report, available from the [Audit Scotland website](#), the most significant assessed risks of material misstatement that I identified and my conclusions thereon.

Responsibilities of the Chief Finance Officer and the Audit and Risk Committee for the financial statements

As explained more fully in the Statement of Responsibilities, the Chief Finance Officer is responsible for the preparation of financial statements that give a true and fair view in accordance with the financial reporting framework, and for such internal control as the Chief Finance Officer determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Chief Finance Officer is responsible for assessing the East Lothian Integration Joint Board's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

The Audit and Risk Committee is responsible for overseeing the financial reporting process.

Auditor's responsibilities for the audit of the financial statements

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, intentional omissions, misrepresentations, or the override of internal control. The capability of the audit to detect fraud and other irregularities depends on factors such as the skilfulness of the perpetrator, the frequency and extent of manipulation, the degree of collusion involved, the relative size of individual amounts manipulated, and the seniority of those individuals involved. I therefore design and perform audit procedures which respond to the assessed risks of material misstatement due to fraud.

A further description of the auditor's responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website www.frc.org.uk/auditorsresponsibilities. This description forms part of my auditor's report.

Other information in the annual accounts

The Chief Finance Officer is responsible for the other information in the annual accounts. The other information comprises the information other than the financial statements, the audited part of the Remuneration Report, and my auditor's report thereon. My opinion on the financial statements does not cover the other information and I do not express any form of assurance conclusion thereon except on matters prescribed by the Accounts Commission to the extent explicitly stated later in this report.

In connection with my audit of the financial statements, my responsibility is to read all the other information in the annual accounts and, in doing so, consider whether the other information is materially inconsistent with the financial statements or my knowledge obtained in the audit or otherwise appears to be materially misstated. If I identify such material inconsistencies or apparent material misstatements, I am required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact. I have nothing to report in this regard.

Report on other requirements

Opinions on matters prescribed by the Accounts Commission

In my opinion, the audited part of the Remuneration Report has been properly prepared in accordance with The Local Authority Accounts (Scotland) Regulations 2014.

In my opinion, based on the work undertaken in the course of the audit:

- the information given in the Management Commentary for the financial year for which the financial statements are prepared is consistent with the financial statements and that report has been prepared in accordance with statutory guidance issued under the Local Government in Scotland Act 2003; and
- the information given in the Annual Governance Statement for the financial year for which the financial statements are prepared is consistent with the financial statements and that report has been prepared in accordance with the Delivering Good Governance in Local Government: Framework (2016).

Matters on which I am required to report by exception

I am required by the Accounts Commission to report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the audited part of the Remuneration Report are not in agreement with the accounting records; or
- I have not received all the information and explanations I require for my audit.

I have nothing to report in respect of these matters.

Conclusions on wider scope responsibilities

In addition to my responsibilities for the annual accounts, my conclusions on the wider scope responsibilities specified in the Code of Audit Practice, including those in respect of Best Value, are set out in my Annual Audit Report.

Use of my report

This report is made solely to the parties to whom it is addressed in accordance with Part VII of the Local Government (Scotland) Act 1973 and for no other purpose. In accordance with paragraph 120 of the Code of Audit Practice, I do not undertake to have responsibilities to members or officers, in their individual capacities, or to third parties.

Gillian Woolman (MA, FCA, CPFA)

Audit Scotland
102 West Port
Edinburgh
EH3 9DN

APPENDIX B: Letter of Representation (ISA 580)

Gillian Woolman, Audit Director
Audit Scotland
102 West Port
Edinburgh
EH3 9DN

Dear Gillian

East Lothian Integration Joint Board Annual Accounts 2019/20

1. This representation letter is provided in connection with your audit of the annual accounts of the East Lothian Integration Joint Board for the year ended 31 March 2020 for the purpose of expressing an opinion as to whether the financial statements give a true and fair view in accordance with the financial reporting framework, and for expressing other opinions on the remuneration report, management commentary and annual governance statement.
2. I confirm to the best of my knowledge and belief and having made appropriate enquiries of the Audit and Risk Committee, the following representations given to you in connection with your audit of the East Lothian Integration Joint Board's annual accounts for the year ended 31 March 2020.

General

3. The East Lothian Integration Joint Board and I have fulfilled our statutory responsibilities for the preparation of the 2019/20 annual accounts. All the accounting records, documentation and other matters which I am aware are relevant to the preparation of the annual accounts have been made available to you for the purposes of your audit. All transactions undertaken by the East Lothian Integration Joint Board have been recorded in the accounting records and are properly reflected in the financial statements.
4. I confirm that the effects of uncorrected misstatements are immaterial, individually and in aggregate, to the financial statements as a whole. I am not aware of any uncorrected misstatements other than those reported by you.

Financial Reporting Framework

5. The annual accounts have been prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom 2019/20 (2019/20 accounting code), mandatory guidance from LASAAC, and the requirements of the Local Government (Scotland) Act 1973, the Local Government in Scotland Act 2003 and The Local Authority Accounts (Scotland) Regulations 2014.
6. In accordance with the 2014 regulations, I have ensured that the financial statements give a true and fair view of the financial position of the East Lothian Integration Joint Board at 31 March 2020 and the transactions for 2019/20.

Accounting Policies & Estimates

7. All significant accounting policies applied are as shown in the notes to the financial statements. The accounting policies are determined by the 2019/20 accounting code, where applicable.

Where the code does not specifically apply, I have used judgement in developing and applying an accounting policy that results in information that is relevant and reliable. All accounting policies applied are appropriate to the East Lothian Integration Joint Board's circumstances and have been consistently applied.

8. The significant assumptions used in making accounting estimates are reasonable and properly reflected in the financial statements. Judgements used in making estimates have been based on the latest available, reliable information. Estimates have been revised where there are changes in the circumstances on which the original estimate was based or as a result of new information or experience.

Going Concern Basis of Accounting

9. I have assessed the East Lothian Integration Joint Board's ability to continue to use the going concern basis of accounting and have concluded that it is appropriate. I am not aware of any material uncertainties that may cast significant doubt on the East Lothian Integration Joint Board's ability to continue as a going concern.

Fraud

10. I have provided you with all information in relation to
 - my assessment of the risk that the financial statements may be materially misstated as a result of fraud
 - any allegations of fraud or suspected fraud affecting the financial statements
 - fraud or suspected fraud that I am aware of involving management, employees who have a significant role in internal control, or others that could have a material effect on the financial statements.

Laws and Regulations

11. I have disclosed to you all known instances of non-compliance or suspected non-compliance with laws and regulations whose effects should be considered when preparing financial statements.

Related Party Transactions

12. All material transactions with related parties have been appropriately accounted for and disclosed in the financial statements in accordance with the 2019/20 accounting code. I have made available to you the identity of all the East Lothian Integration Joint Board's related parties and all the related party relationships and transactions of which I am aware.

Remuneration Report

13. The Remuneration Report has been prepared in accordance with the Local Authority Accounts (Scotland) Regulations 2014, and all required information of which I am aware has been provided to you.

Management commentary

14. I confirm that the Management Commentary has been prepared in accordance with the statutory guidance and the information is consistent with the financial statements.

Corporate Governance

15. I confirm that the East Lothian Integration Joint Board has undertaken a review of the system of internal control during 2019/20 to establish the extent to which it complies with proper practices set out in the Delivering Good Governance in Local Government: Framework 2016. I have disclosed to you all deficiencies in internal control identified from this review or of which I am otherwise aware.
16. I confirm that the Annual Governance Statement has been prepared in accordance with the Delivering Good Governance in Local Government: Framework 2016 and the information is consistent with the financial statements. There have been no changes in the corporate governance arrangements or issues identified, since 31 March 2020, which require to be reflected.

Balance Sheet

17. All events subsequent to 31 March 2020 for which the 2019/20 accounting code requires adjustment or disclosure have been adjusted or disclosed.

Yours sincerely

Claire Flanagan
Chief Finance Officer

East Lothian Integration Joint Board

3b

2019/20 Annual Audit Report



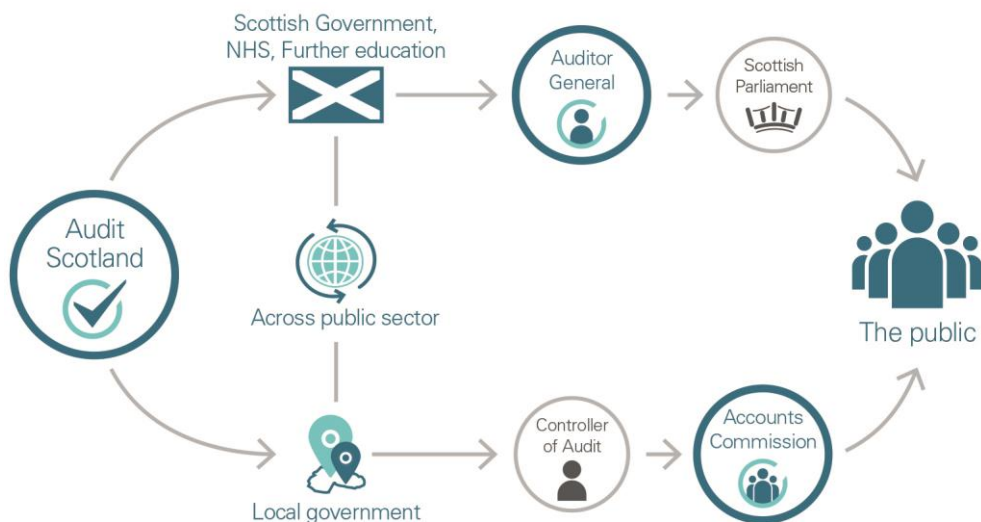
 AUDIT SCOTLAND

Prepared for the East Lothian Integration Joint Board and the Controller of Audit
September 2020

Who we are

The Auditor General, the Accounts Commission and Audit Scotland work together to deliver public audit in Scotland:

- The Auditor General is an independent crown appointment, made on the recommendation of the Scottish Parliament, to audit the Scottish Government, NHS and other bodies and report to Parliament on their financial health and performance.
- The Accounts Commission is an independent public body appointed by Scottish ministers to hold local government to account. The Controller of Audit is an independent post established by statute, with powers to report directly to the Commission on the audit of local government.
- Audit Scotland is governed by a board, consisting of the Auditor General, the chair of the Accounts Commission, a non-executive board chair, and two non-executive members appointed by the Scottish Commission for Public Audit, a commission of the Scottish Parliament.



About us

Our vision is to be a world-class audit organisation that improves the use of public money.

Through our work for the Auditor General and the Accounts Commission, we provide independent assurance to the people of Scotland that public money is spent properly and provides value. We aim to achieve this by:

- carrying out relevant and timely audits of the way the public sector manages and spends money
- reporting our findings and conclusions in public
- identifying risks, making clear and relevant recommendations.

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Key messages

2019/20 annual report and accounts

- 1** The financial statements give a true and fair view and were properly prepared in accordance with the financial reporting framework.
- 2** The audited part of the remuneration report, management commentary, and annual governance statement were all consistent with the financial statements and properly prepared in accordance with proper accounting practices.
- 3** There was no adverse effect from the impact of Covid-19 on the accounting and auditing timetable for the 2019/20 annual accounts.

Financial management and sustainability

- 4** The IJB has appropriate and effective financial management arrangements.
- 5** Medium term financial plans have been developed and are being monitored and updated.
- 6** From March 2020 until the time of this report, the impact of Covid-19 to the IJB has been significant. Service disruption is anticipated to continue indefinitely and the financial implications of responding to this remain uncertain. The medium-term financial position of the IJB in relation to the pandemic is being actively monitored and reported on.

Governance, transparency and best value

- 7** The IJB has appropriate governance arrangements in place that support the scrutiny of decisions by the board. The impact of Covid-19 did not have an adverse effect on governance arrangements.
- 8** The IJB has adequate arrangements for managing and reporting performance and continues to refine the process to factor in changed practices and delivery of front-line services in response to Covid-19.
- 9** The IJB submitted their 2019/20 Performance Report to the board on 27 August 2020, in line with the new timescale set by the Scottish Government. The 2019/20 Annual Performance Report includes an assessment of best value objectives against the IJB's delivery of services.

Introduction

1. This report is a summary of our findings arising from the 2019/20 audit of East Lothian Integration Joint Board (the IJB).
2. The scope of our audit was set out in our Annual Audit Plan presented to the Audit and Risk Committee meeting on 22 January 2020. This report comprises the findings from our main elements of work in 2019/20 including:
 - an audit of the IJB's 2019/20 annual accounts including the issue of an independent auditor's report setting out my opinions
 - consideration of the four audit dimensions that frame the wider scope of public audit set out in the [Code of Audit Practice 2016](#) as illustrated in [Exhibit 1](#).

Exhibit 1 Audit dimensions



Source: Code of Audit Practice 2016

3. Subsequent to the publication of the Annual Audit Plan, in common with all public bodies, the IJB and partner bodies have had to respond to the global coronavirus pandemic. This impacted on the final month of the year and will continue to have a significant impact into financial year 2020/21. This will have significant implications for the provision and costs of services and a wider review of planned projects and activities going forward. However, we have not had to amend our 2019/20 planned audit work and there were no new or emerging risks that related to the audit of the financial statements and the wider dimensions of audit, due to Covid-19.

Adding value through the audit

4. We add value to the IJB, through audit, by:

- identifying and providing insight on significant risks, and making clear and relevant recommendations
- sharing intelligence and good practice through our national reports ([Appendix 2](#)) and good practice guides
- providing clear and focused conclusions on the appropriateness, effectiveness and impact of corporate governance, performance management arrangements and financial sustainability

5. In so doing, we aim to help the IJB promote improved standards of governance, better management and decision making and more effective use of resources.

Responsibilities and reporting

6. The IJB has primary responsibility for ensuring the proper financial stewardship of public funds. This includes preparing annual accounts that are in accordance with proper accounting practices. The IJB is also responsible for compliance with legislation, and putting arrangements in place for governance, propriety and regularity that enable it to successfully deliver its objectives.

7. Our responsibilities, as independent auditor appointed by the Accounts Commission, are established by the Local Government (Scotland) Act 1973, the Code of Audit Practice (2016), supplementary guidance, and International Standards on Auditing in the UK.

8. As public sector auditors we give independent opinions on the annual accounts. Additionally, we conclude on:

- the appropriateness and effectiveness of the performance management arrangements,
- the suitability and effectiveness of corporate governance arrangements,
- the financial position and arrangements for securing financial sustainability.

9. Further details of the respective responsibilities of management and the auditor can be found in the [Code of Audit Practice 2016](#) and supplementary guidance.

10. This report raises matters from our audit. Weaknesses or risks identified are only those which have come to our attention during our normal audit work and may not be all that exist. Communicating these does not absolve management from its responsibility to address the issues we raise and to maintain adequate systems of control.

11. Our annual audit report required no action plan for 2019/20.

Auditor Independence

12. Auditors appointed by the Accounts Commission or Auditor General must comply with the Code of Audit Practice and relevant supporting guidance. When auditing the financial statements, auditors must comply with professional standards issued by the Financial Reporting Council and those of the professional accountancy bodies.

13. We can confirm that we comply with the Financial Reporting Council's Ethical Standard. We can also confirm that we have not undertaken any non-audit related services and therefore the 2019/20 audit fee of £26,560, as set out in our Annual Audit Plan, remains unchanged. We are not aware of any relationships that could compromise our objectivity and independence.

14. This report is addressed to both the board and the Controller of Audit and will be published on Audit Scotland's website www.audit-scotland.gov.uk in due course.

15. We would like to thank all management and staff who have been involved in our work for their co-operation and assistance during the audit.

Part 1

Audit of 2019/20 annual accounts



Main judgements

The financial statements give a true and fair view and were properly prepared in accordance with the financial reporting framework.

The audited part of the remuneration report, management commentary, and annual governance statement were all consistent with the financial statements and properly prepared in accordance with proper accounting practices.

There was no adverse effect from the impact of Covid-19 on the accounting and auditing timetable for the 2019/20 annual accounts.

The annual report and accounts are the principal means of reporting financial performance and demonstrating stewardship of the resources put at the disposal of the body

Our audit opinions on the annual accounts are unmodified

16. The annual accounts for the year ended 31 March 2020 were approved by the board on 25 June 2020. We reported within the independent auditor's report that:

- the financial statements give a true and fair view and were properly prepared in accordance with the financial reporting framework
- the audited part of the remuneration report, management commentary, and annual governance statement were all consistent with the financial statements and properly prepared in accordance with proper accounting practices.

17. The completeness and accuracy of accounting records and the extent of information and explanations that we required for our audit were not affected by the Covid-19 outbreak. The working papers provided to support the accounts were of a good standard and the audit team received support from the Chief Finance Officer which helped ensure the final accounts audit process ran smoothly.

Overall materiality is £1.7 million

18. The assessment of what is material is a matter of professional judgement. It involves considering both the amount and nature of the misstatement in the annual report and accounts.

19. Our initial assessment of materiality for the annual accounts was carried out during the planning phase of the audit. On receipt of the unaudited annual accounts we reviewed our materiality calculations and updated them (an increase of £100k to overall materiality). This change did not impact our planned audit approach.

20. Our revised materiality based on the unaudited annual accounts 2019/20 is summarised in [Exhibit 2](#). Specifically, regarding the annual accounts we assess the materiality of uncorrected misstatements, both individually and collectively.

Exhibit 2

Revised materiality values

Materiality level	Amount
Overall materiality	£1.7 million
Performance materiality	£1.2 million
Reporting threshold	£17,000

Source: East Lothian IJB Unaudited Annual Account 2019/20

We have no issues to report from our work on the risks of material misstatement. There were no misstatements above our reporting thresholds identified from our audit.

21. [Appendix 1](#) provides our assessment of the main risks of material misstatement in the annual accounts and any wider audit dimension risks. These risks influence our overall audit strategy, the allocation of staff resources to the audit and indicate how the efforts of the audit team are directed. [Appendix 1](#) also identifies the work we undertook to address these risks and our conclusions from this work. There were no additional risks identified during 2019/20 in our audit resulting from the impact of Covid-19.

Prior year recommendations have been addressed

22. The IJB has made progress in implementing our three prior year audit recommendations from our [2018/19 Annual Audit Report](#).

- **Efficiency savings** - The IJB's rolling five-year financial plan 2019/20 – 2023/24 was developed and presented to the IJB on 27 June 2019. It is informed by indicative future partner funding levels and the Scottish Government medium term financial framework for Health and Social Care published in October 2018. Due to the further impact of Covid-19, the plan continues to be revisited with partners and updated.
- **The Annual Performance Report** – The 2019/20 submission deadline has been extended from July 2020 to September 2020 as a result of Covid-19. The IJB submitted their 2019/20 report to the board on 27 August 2020, in line with the new timescale set by the Scottish Government. Further narrative can be found in [paragraphs 42–48](#) of this report.
- **Reporting best value** – We found that the 2019/20 Performance Report submitted by the IJB includes an assessment of best value objectives against the IJB's delivery of services. Further narrative can be found in [paragraphs 42–48](#) of this report.

Part 2

Financial management and sustainability



Main judgements

The IJB has appropriate and effective financial management arrangements.



Medium term financial plans have been developed and are being monitored and updated.

From March 2020 until the time of this report, the impact of Covid-19 to the IJB has been significant. Service disruption is anticipated to continue indefinitely and the financial implications of responding to this remain uncertain. The medium to long term financial position of the IJB in relation to the pandemic is being actively monitored and reported on.

Financial management is about financial capacity, sound budgetary processes and whether the control environment and internal controls are operating effectively.

The 2019/20 budget included planned savings and contributions from reserves to address the funding gap. However, challenges remained throughout the year

23. An indicative 2019/20 budget was included within the 2019-22 EL IJB Strategic Plan presented to the board on 28 March 2019. The strategic plan highlighted that *indicative budgets for 2019-20 cannot be confirmed until budget information is received from partners*. The partners' offers were agreed by their own respective boards/committee on the following dates but were not formally communicated to the IJB until later:

- East Lothian Council – 12 February 2019
- NHS Lothian – 3 April 2019

24. The 2019/20 formal budget offers from partners were presented to and agreed by the EL IJB on 23 May 2019. The budget was set at £161 million with a funding gap of £3.7 million. Plans to address this gap included savings plans of £2.2 million with a remaining gap of £1.5 million. The IJB requested that officers within the partnership develop medium-term recovery plans to assist with this. Since May 2019 the IJB budget position improved, mainly through health funding where additional allocations have been received in-year from the Scottish Government. In addition, earmarked reserves have been released into operational budgets to deliver committed investments plans.

The IJB operated within budget in 2019/20 and had an underspend of £626,000

25. The IJB does not have any assets, nor does it directly incur expenditure or employ staff. All funding and expenditure for the IJB is incurred by partner bodies and processed in their accounting records. The IJB's budget position improved during 2019/20 due to additional funding from partners, use of their earmarked reserves as agreed and from local financial recovery plans. 2019/20 year-end financial performance against budget is summarised in [Exhibit 4](#).

Exhibit 4

Performance against budget

IJB budget summary	Budget £000	Actual £000	Variance £000
Net Expenditure			
NHS Lothian	124,533	123,732	801
East Lothian Council	47,284	47,459	(175)
Total Net Expenditure	171,817	171,191	626
Surplus to be retained by the IJB		626	
Balance of Reserves at 31st March 2020		2,398	
Total Earmarked Reserves		605	

Source: East Lothian Integration Joint Board Annual Accounts 2019/20

The IJB has appropriate budget monitoring arrangements

26. The 2019/20 initial budget was £161 million, which at year end had increased by £11 million to £172 million. We observed that senior management and members receive regular and accurate financial information on the IJB's financial position. The updates are clear and set out how overspends are being addressed. Covid-19 had minimal impact on budget performance in 2019/20 but this is a recognised challenge for future years. We conclude that the IJB has appropriate budget monitoring and reporting arrangements.

The IJB has a medium-term financial plan

27. Financial sustainability looks forward to the medium and longer term to consider whether the body is planning effectively to continue to deliver its services or the way in which they should be delivered.

28. The IJB has a reserves strategy and policy in place. 2018/19 was the first year the IJB had a reserve. In 2019/20, the reserve increased by £626,000 with £605,000 committed to future projects. During the year, £90,000 (net) of earmarked reserves were utilised for several committed projects and funds.

29. After agreement of the formal budget offers for 2019/20 from both partners, and with an indication of budgeted values for future years, the IJB's rolling five-year financial plan 2019/20 – 2023/24 was developed and presented to the IJB on 27 June 2019. It is informed by indicative future partner funding levels and the Scottish Government medium term financial framework for Health and Social Care published in October 2018. The five-year plan identifies funding gaps for each of the five years. The IJB agreed to ask officers within the partnership to develop a medium-term recovery plan and partners are actively working on this.

30. Looking ahead, the funding gap for 2020/21 was originally £7.5 million (June 2019) and has since been reduced to £3.5 million (January 2020). The IJB continues to provide the board with forecasts and the five-year plan will continue to be revised. A formal update will be provided to the board once the NHS Lothian financial plan is finalised and formal budget offers from both Partners have been agreed.

31. We can conclude that medium-term financial plans have been developed and are being monitored and updated.

The financial impact of the Covid-19 pandemic is likely to be significant on future financial plans

32. From March 2020 until the time of this report, the impact of Covid-19 to the IJB has been significant. Service disruption is anticipated to continue indefinitely and the financial implications of responding to this remain uncertain. The medium to long term financial position of the IJB in relation to the pandemic is being actively monitored and reported on.

33. At the June 2020 meeting of the IJB, the board were presented with an update on the temporary changes made across the health and social care partnership (HSCP) to managed and commissioned services resulting from Covid-19. The paper also highlights changes that may apply in the longer term and summarises the actions taken across all HSCP services over the last three months to respond to restrictions arising from Covid-19. The paper includes an *Actions Arising from COVID-19 and Continuing Changes to Service Delivery in East Lothian* summarising how services have had to change and adapt.

Financial systems of internal control operated effectively

34. The IJB relies on the information generated by its partner bodies (East Lothian Council and NHS Lothian) for key financial systems such as the ledger and payroll. The details of the IJB's financial transactions are processed through the partners' systems and those partners are responsible for appropriate systems of internal control. The IJB's transactions are maintained separately from those of the partner bodies in respective ledgers.

35. As part of our audit approach we sought assurances from the external auditors of East Lothian Council and NHS Lothian (in accordance with ISA 402) and confirmed there were no weaknesses in the systems of internal controls for the health board and no weaknesses in the systems of internal controls for the Council, which would have an impact on the IJB.

Standards of conduct and arrangements for the prevention and detection of fraud and error are appropriate

36. The IJB does not maintain its own policies relating to the prevention and detection of fraud and error but instead depends on those in place at its partner bodies. No weaknesses in arrangements for the prevention and detection of fraud and error have been reported to us by the two sets of external auditors. The IJB has a Code of Conduct in place to which members subscribe and the Members' Registers of Interest is publicly available on the IJB's website. The assurance provided from the external auditors of NHS Lothian and East Lothian Council did not highlight any issues in these areas.

Part 3

Governance, transparency and best value



Main judgements

The IJB has appropriate governance arrangements in place that support the scrutiny of decisions by the board. The impact of Covid-19 did not have an adverse effect on governance arrangements.



The IJB has adequate arrangements for managing and reporting performance and continues to refine the process to factor in changed practices and delivery of front-line services in response to Covid-19.

The IJB submitted their 2019/20 Performance Report to the board on 27 August 2020, in line with the new timescale set by the Scottish Government. The 2019/20 Annual Performance Report includes an assessment of best value objectives against the IJB's delivery of services.

Governance and transparency is concerned with the effectiveness of scrutiny and governance arrangements, leadership and decision-making and transparent reporting of financial and performance information.

Governance arrangements are appropriate

37. The governance and transparency arrangements we consider include:

- board and committee structure and conduct,
- overall arrangements and standards of conduct including those for the prevention and detection of fraud, error, bribery and corruption,
- openness of board and committees, and
- reporting of performance and whether this is fair, balanced and understandable.

38. As we have previously reported in prior years, the IJB is supported in its work by a Chief Officer and a Chief Finance Officer. The Chief Officer provides strategic and operational advice to the board while the Chief Finance Officer is responsible for financial management including budget monitoring reports and financial planning. Both the Chief Officer and Chief Finance Officer were present at 2019/20 board and Audit and Risk Committee meetings, provided good summaries and responded to member queries. In addition, full details of the meetings held by the IJB are available through the East Lothian Council website where access is given to all public committee papers and minutes of meetings. The public are also welcome to attend these meetings.

39. We conclude that overall, the IJB has adequate governance arrangements in place that support scrutiny and accountability and, demonstrate a commitment to openness and transparency.

The Covid-19 pandemic did not have a significant impact on governance arrangements from March 2020 and business has continued to operate

40. The impact of Covid-19 has been referred to in the management commentary of the IJB's annual accounts. Operations were not significantly affected during 2019/20, with the impact of Covid-19 crystallising in 2020/21. Emergency recess procedures were put in place from 26 March 2020. This included amending the Standing Orders to delegate additional powers to the Chief Officer and revised reporting arrangements and timetables. The IJB and the Audit and Risk Committee are both continuing their governance and scrutiny role with virtual meetings taking place. The June 2020 board meeting included the review and approval of the unaudited accounts, at which external audit were present.

41. The revised governance arrangements are appropriate and support good governance and accountability within the IJB, with scrutiny of decisions by members continuing to be supported by officers.

Best Value is concerned with using resources effectively and continually improving services.

The 2019/20 Annual Performance Report includes an assessment of best value objectives against the IJB's delivery of services

42. Integration Joint Boards have a statutory duty to make arrangements to secure best value. To achieve this, IJBs should have effective arrangements for scrutinising performance, monitoring progress towards their strategic objectives and holding partners to account. Our audit covers the four audit dimensions, as set out in [Exhibit 1](#), which are key components of securing best value in the provision of services and the use of resources.

43. The IJB's 2019/20 Annual Performance Report was submitted to the board on 27 August 2020, in line with the extended timescale set by the Scottish Government. The EL IJB Audit and Risk Committee and the East Lothian Health and Social Care Partnership Clinical Governance Group both have a key role in ensuring best value is demonstrated.

44. The Performance Report commences with a comparison of the IJB's performance against the national average for a number of key indicators including emergency admissions, emergency bed days and hospital bed days. The report contains a section on best value and provides examples of impact on commissioning and procurement for the IJB. It includes impact and outcomes measured against key performance indicators from the prior year as well as explanatory narrative where the impact cannot be measured solely on qualitative data. The IJB's performance is improving when compared to the prior year. The report also includes case studies and has the impact of Covid-19 referred to where appropriate highlighting the future challenges as a result of working in the new environment(s).

45. The IJB's 2019/20 Annual Performance Report includes an assessment of best value objectives against the IJB's delivery of services and compares this against the prior year. We will continue to monitor and comment on this area.

Performance management reports are reviewed by the board and this remained in place, virtually, during the lockdown period

46. The Public Bodies (Joint Working) (Scotland) Act 2014 requires the IJB to produce an annual performance report covering areas such as: assessing performance in relation to national health and wellbeing outcomes, financial performance and best value, reporting on localities and the inspection of services.

47. The IJB's 2019/20 directions and associated plans were approved on 31 October 2019. The delivery plan sets out local Indicators to measure progress against performance. The IJB updated its performance framework, including clarifying reporting structures, ensuring robust monitoring and identifying areas for development as examples. A paper was presented to and approved by the IJB about the revised framework in December 2019. Performance levels are measured against a suite of key performance indicators linked to national and local plans. The EL IJB has also established a Clinical Care and Governance Committee who meet quarterly to discuss operational management and assurances over the quality and safety of care.

48. The IJB has adequate arrangements for managing and reporting performance and continues to refine the process to factor in changed practices and delivery of front-line services in response to Covid-19.

National performance audit reports

49. Audit Scotland carries out a national performance audit programme on behalf of the Accounts Commission and the Auditor General for Scotland. During 2019/20 we published reports, some of which may be of direct interest to the board, as outlined in [Appendix 2](#).

50. The relevant national reports are considered by the IJB. This includes a summary prepared by the IJB that is presented and discussed at board level and/or at the Audit and Risk Committee.

51. The IJB has satisfactory arrangements in place for considering and reviewing national reports including any locally agreed actions.

Appendix 1

Significant audit risks identified during planning

The table below sets out the audit risks we identified during our planning of the audit and how we addressed each risk in arriving at our conclusion. The risks are categorised between those where there is a risk of material misstatement in the annual report and accounts and those relating our wider responsibility under the [Code of Audit Practice 2016](#).

Audit risk	Assurance procedure	Results and conclusions
Risks of material misstatement in the financial statements		
<p>1 Management override of controls</p> <p>Auditing Standards require that audits are planned to consider the risk of material misstatement caused by fraud, which is presumed to be a significant risk in any audit. This includes the risk of management override of controls that results in fraudulent financial statements.</p>	<p>Testing of key controls in East Lothian Council.</p> <p>Assurances to be obtained from the auditors of NHS Lothian.</p>	<p>Satisfactory</p> <p>Assurances from the external auditors of NHS Lothian and East Lothian Council confirmed there were no weaknesses in the systems of internal controls for the health board and no weaknesses in the systems of internal controls for the Council which would have an impact on the IJB.</p>
<p>2 Risk of material misstatement caused by fraud in expenditure</p> <p>The expenditure of the IJB is processed through the financial systems of East Lothian Council and NHS Lothian.</p> <p>There is a risk that non-IJB related expenditure is incorrectly coded to the IJB account codes.</p>	<p>Assurances will be obtained from the auditors of East Lothian Council and NHS Lothian over the completeness, accuracy, and allocation of the income and expenditure.</p>	<p>Satisfactory</p> <p>Assurances from the external auditors of NHS Lothian and East Lothian Council confirmed there were no weaknesses in the systems of internal controls for the health board and no weaknesses in the systems of internal controls for the Council which would have an impact on the IJB.</p>
Risks identified from the auditor's wider responsibility under the Code of Audit Practice		
<p>3 Financial sustainability</p> <p>The IJB's five-year financial plan identifies the funding gaps the IJB faces each year. These are £1.5 million in 19/20 rising to £17.7 million by 2023/24. Work is required to ensure financial pressures can be addressed. There is a risk the IJB may not be able to deliver the targeted savings/plans in 2019/20 and beyond and that the IJB is not living within its means.</p>	<p>Attendance at the Board/Committee meetings.</p> <p>Review of papers/plans submitted to assess progress.</p>	<p>Satisfactory</p> <p>Following agreement of the formal budget offers for 2019/20 from both partners and, with an indication of budgeted values for future years, the IJB's rolling five-year financial plan 2019/20 – 2023/24 was agreed.</p> <p>The IJB reported an underspend in 2019/20 but financial pressures remain for the foreseeable future.</p> <p>The IJB agreed to ask officers within the partnership to develop a medium-term recovery plan and</p>

Audit risk	Assurance procedure	Results and conclusions
		<p>partners are actively working on this.</p> <p>Updates are reported to the board routinely.</p>
<p>4 Value for money – reporting best value</p> <p>The IJB publishes an annual Performance Report as prescribed by the Public Bodies (Joint Working) (Scotland) Act 2014. IJBs also have a duty to make arrangements to secure best value. The EL IJB has not yet reported on its arrangements to secure best value.</p> <p>The Performance Report for 2019/20 should set out how the EL IJB demonstrates that it is meeting its best value duties to ensure compliance with the guidance and to demonstrate the delivery of best value to the residents of East Lothian.</p>	<p>Review and report on the IJB's best value arrangements and reporting of these.</p>	<p>Satisfactory</p> <p>The IJB submitted their 2019/20 Performance Report to the board on 27 August 2020, in line with the new timescale set by the Scottish Government. The 2019/20 Annual Performance Report includes an assessment of best value objectives against the IJB's delivery of services.</p>

Appendix 2

Summary of national performance reports 2019/20

		 2019/20 Reports	
		Apr	
Social security: Implementing the devolved powers		May	
Scotland's colleges 2019		Jun	 Enabling digital government
		Jul	
NHS workforce planning - part 2		Aug	
Finances of Scottish universities		Sept	
NHS in Scotland 2019		Oct	
		Nov	
Local government in Scotland: Financial overview 2018/19		Dec	
Scotland's City Region and Growth Deals		Jan	 Privately financed infrastructure investment: The Non-Profit Distributing (NPD) and hub models
		Feb	
		Mar	 Early learning and childcare: follow-up

NHS relevant reports

[NHS workforce planning – part 2](#) - August 2019

[NHS in Scotland 2019](#) - October 2019

LG relevant reports

[Local Government in Scotland: Financial overview 2018/19](#) – December 2019

East Lothian Integration Joint Board

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REPORT TO: East Lothian Integration Joint Board
MEETING DATE: 17 September 2020
BY: Chief Finance Officer
SUBJECT: Financial Update 2020/21

4

1 PURPOSE

- 1.1 This report provides an update to the IJB on its year to date financial position in 2020/21 and the recent Quarter 1 financial reviews, which consider the projected year end out-turn, undertaken by both the IJB partners East Lothian Council and NHS Lothian.

2 RECOMMENDATIONS

- 2.1 The IJB is asked to:
- i. Note the Quarter 1 financial forecasts provided by our partners;
 - ii. Note the work ongoing to refine and understand these; and
 - iii. Note the financial impact and uncertainties of COVID-19 and the remobilisation of services for both partners.

3 BACKGROUND

- 3.1 At the IJB meeting in April 2020 the IJB approved the final budget offers from both partners to the IJB. It is important to note that these budget offers were prepared and approved on the basis of “business as usual”, ongoing and developing COVID-19 issues highlight that this is not the case.
- 3.2 The financial position for the IJB is therefore not straightforward to report. Understanding the results and the financial impact of COVID-19, both in terms of the impact of the actual costs incurred to date, as well as the implication for the rest of the financial year. Finance teams in both organisations continue work to determine the extent to which the projected overspend relates to: the ‘core’ (i.e. underlying operational) position; the impact of COVID-19 on costs incurred to date; and any (future) financial consequences of

mobilisation/remobilisation. The picture is further complicated by the extent to which costs can be recovered from the Scottish Government through the mobilisation/remobilisation processes.

- 3.3 The IJB financial position as at the end of June 2020 is £1.1m overspent and the Quarter 1 financial review position projects a £2.8m overspend for 2020/21. This position should be read in the context of the unknown factors mentioned above and the high risk that this position will deteriorate further.
- 3.4 At the time of writing there has been no confirmation that additional funding will be available in Health for the additional costs incurred. NHS Lothian continues to engage with Scottish Government with regards to their governance and reporting requirements for mobilisation and remobilisation plans.
- 3.5 East Lothian IJB has been received (£1.4m) for additional social care costs which will be used to cover sustainability payments to external providers. This funding has not been factored into this Quarter 1 position until the extent of the overall pressure is understood. This will be allocated in further forecasts and shared with the IJB at this time.
- 3.6 A further breakdown of this position is shown below :

	Annual Budget	YTD Budget	YTD Actual	YTD Variance @ Month 3	Q1 Forecast Outturn
	£k	£k	£k	£k	£k
Core	77,981	16,998	17,581	(584)	(2,106)
Hosted	14,175	3,261	3,354	(93)	(236)
Set Aside	19,519	4,391	4,654	(262)	(891)
Health	111,675	24,650	25,590	(939)	(3,233)
Social Care	55,251	11,518	11,733	(215)	397
Total	166,926	36,168	37,323	(1,154)	(2,836)

Fig 1: East Lothian IJB Year to Date Financial Position and Q1 Forecast

Forecast Outturn for 2020/21 @ Q1	£k
NHS Services :	
Core	(2,106)
Hosted	(236)
Acute	(891)
NHS Services (£1.8m of COVID related costs have been incurred to date)	(3,233)
Council Services :	
Social Care (to date £1.2m of COVID related costs)	29
Private Sector Housing Grant	63
HRA TOTAL	305
Council Services	397
Overall Total for East Lothian IJB	(2,836)

Fig 2: East Lothian IJB Q1 Forecast

- 3.7 As noted above, within both positions the forecast overspend reflects additional costs due to COVID-19. Main pressures include:
- NHS - Additional costs due to extra wards open in East Lothian Community Hospital, more Hospital to Home Runs and additional costs in GMS and Prescribing.
 - Council - Additional resilience capacity in Care Home beds, sustainability payments to external providers, reduction in income.
- 3.8 The out-turn projections will continue to be refined throughout the year and an updated position will be brought to the next IJB, by which time we hope that clarity regarding any additional funding will be known, remobilisation plans will be further developed and the financial consequences become clearer.
- 3.9 The IJB has always had savings to make to help meet a balanced recurring budget. This will be extremely challenging during the pandemic due to additional costs and loss of income. These will be reviewed and brought to a future IJB meeting.
- 3.10 As in previous years, the IJB produces a longer term financial outlook and updates the IJB members on this throughout the financial year. With the uncertainty attached to these extraordinary times the timetable for refining the 5 year rolling financial plan has been delayed. This will be brought to a later IJB meeting when some of the unknown issues around funding and recurrency of remobilisation plans are known and the impact these will have for the IJB.
- 3.11 Through the NHS Lothian coordinated remobilisation process East Lothian HSCP are undertaking, at this moment, to develop an enhancement to Advanced Practice Physiotherapy and the Care Home Team supporting all East Lothian Care Homes as part of the system wide remobilisation.
- 3.12 **Care Home Team Expansion**

The existing East Lothian Care Home nursing team will be extended and restructured to support all care homes within East Lothian through education input and Nurse Practitioner support to anticipatory care, long-term conditions support and to respond to acute illness presentations in residents. The team will link with the GP practices covering each Care Home for medical advice as required. Governance arrangements for East Lothian are under the oversight of the Chief Nurse as per Scottish Government instruction of 17/5/2020. Care Home occupancy, staffing, infection control and outbreak status will be managed through the Care Home Operational Group. There will be increased use of telephone assessment by the care homes rather than face-to-face, reducing time delays to assessment and reducing delays to discharge, and ultimately occupied bed days. The remobilisation resource required to do this is circa £0.4m (fye) for

increased care home team staffing and increased management resource for oversight of all care homes

3.13 Community Team Enhancement for Rehabilitation

Rehabilitation services are key to maintaining independence, keeping people out of hospital and reducing pressures and costs on all parts of the Health and Social Care system. Rehabilitation at all stages – in hospital and in the community is critical to keeping the flow of patients moving, freeing up beds and creating capacity to treat more critically ill patients. The pandemic is highlighting the requirement for a highly advanced level of community rehabilitation. Alongside those recovering from COVID-19 are large numbers of people with long-term conditions, musculoskeletal problems, falls, reduced mobility and a significant increase in chronicity and severity of routine issues that have not been addressed during this time. There will be a requirement to address not just physical complaints, but psychological and cognitive challenges. In order to provide appropriate capacity to meet need, East Lothian Integrated Rehabilitation Service requires additional staffing to support changes in the way services are delivered. The service plans to embed Technology Enabled Care in all AHP services and provide access to remote working Advanced Practitioners using the 'Near Me' platform and via telephone. At this stage the remobilisation resource required is supporting additional Advanced Practice Physiotherapists at circa £0.11m (fye).

3.14 Further updates regarding remobilisation will be reported to future meetings of the IJB.

4 ENGAGEMENT

4.1 The IJB makes its papers and report available on the Council's website.

5 POLICY IMPLICATIONS

5.1 There are no new policies arising from this paper.

6 INTEGRATED IMPACT ASSESSMENT

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

7 DIRECTIONS

7.1 There are no Directions implications arising from this paper

8 RESOURCE IMPLICATIONS

- 8.1 Financial – discussed above
- 8.2 Personnel – none
- 8.3 Other – none

9 RISK

9.1 Like any year end projection, the IJB relies on a number of assumptions and estimates each of which introduces a degree of risk. Of particular note are:

- forecasts will vary as service driven mobilisation and remobilisation plans are developed and financial impacts crystallised;
- the extent to which COVID-19 costs will be met by the Scottish Government through the mobilisation processes;
- that there will be no further waves of COVID-19.

10 BACKGROUND PAPERS

10.1 Financial Update – April 2020 meeting.

AUTHOR'S NAME	Claire Flanagan
DESIGNATION	Chief Finance Officer
CONTACT INFO	claire.flanagan@nhslothian.scot.nhs.uk
DATE	September 2020



SBAR – East Lothian IJB Directions 2020-21

<p>Date: 17th September 2020 Completed by: Paul Currie Area: Planning and Performance</p>	
<p>Situation</p>	<p>Each year, East Lothian IJB is asked to approve a suite of Directions in respect of delegated, hosted and set-aside services. Directions are also reviewed in-year if indicated by changes in priorities. Circumstances arising from COVID-19 has delayed consideration of this year's Directions</p>
<p>Background</p>	<p>The Public Bodies (Joint Working) (Scotland) Act 2014 requires IJBs to develop a Strategic Plan for all functions and budgets under their control. To deliver the strategic priorities binding Directions (and associated budgets) must be issued to the Health Board and Local Authority partners.</p> <p>Guidance (most recently in Jan of 2020¹) emphasises that Directions should:</p> <ul style="list-style-type: none"> • not be issued unnecessarily and should be proportionate • always be prompted by a decision made by the IJB • be “...<i>thoughtfully constructed and capable of being monitored effectively with delivery timescales, milestones and outcomes.</i>” • be developed and delivered through a Directions policy, based on the guidance. <p>HSCP Officers, through the Change Boards, work in collaboration with NHS Lothian and East Lothian Council to develop and deliver Directions to improve services, to increase efficiencies and to deliver the ambitions of the 2019-22 Strategic Plan.</p> <p>At its development session of 27th August, East Lothian IJB considered proposals from Change Board chairs/representatives for the 2020-21 Directions. This discussion is reflected in the current list of proposed Directions (appendix 1)</p>
<p>Assessment</p>	<p>Following review with the Change Boards of the 42 active Directions (and taking account of the input of the IJB members) it is proposed that 22 Directions remain unchanged, 15 Directions are revised and 5 are retired.</p>
<p>Recommendation</p>	<p>East Lothian IJB is asked to:</p> <ul style="list-style-type: none"> • Approve the continuation, revision or retirement of Directions as set out in appendix 1, noting that on finalisation and communication with partners these will have clear progress measures attached • Agree that Change Boards should continue to engage with partners on further development of the existing and any new Directions as required. • Note that the planned review of Change Boards, the issues arising from COVID-19 and other internal and external factors are likely to require further changes to Directions during the current year.
<p>Further Information</p>	<p>See Appendix 1 - East Lothian IJB Directions 2020-21</p>

¹ www.gov.scot/publications/statutory-guidance-directions-integration-authorities-health-boards-local-authorities

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Following discussion with Change Board Chairs and discussion at the IJB Development Session on the 27th August the suite of Directions that operated from 2019-20 have been reviewed. Further work will be required to finalise the progress measures for each Direction and to ensure that meet with the latest statutory guidance¹.

The following table shows which Directions will continue unchanged through 2020-21, which have been revised and which are being retired.

Continuing Direction	22
Revised Directions	15
Retired Direction	5

Direction to NHS Lothian on Delegated Community Health Services Budget: £32,725K			
No.	Title	Direction	Status
D01h	East Lothian Community Hospital	NHS Lothian to continue to develop secondary care services available from East Lothian Community Hospital (ELCH), including the range of outpatient and treatment services, taking the opportunity to build on the successful delivery of remote access to services and the provision of patient monitoring services from ELCH during Covid. In terms of patient monitoring services, opportunities to expand the range of monitoring services available at ELCH should be explored. (Revised September 2020)	Revised

¹ www.gov.scot/publications/statutory-guidance-directions-integration-authorities-health-boards-local-authorities

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Directions to East Lothian Council on Delegated Adult Social Care Services Budget: £34,732K			
No.	Title	Direction	Status
D02f	Health and Housing and Social Care Group	East Lothian Council to better meet people's housing and social care needs through facilitation of the housing and health and social care planning interface group. The group will deliver the key actions and priorities from the 2019-22 Strategic Plan's Housing Contribution Statement, needs assessment and reprovision plans. (Revised 2019-20)	Continuing
D02i	Young Adults with Complex Needs	NHS Lothian and East Lothian Council to transform community supports for younger adults with complex needs, including a comprehensive evidence-based needs assessment and completing the review of all remaining commissioned third sector community provided services. (Continuing Direction)	Retired
D02j	Transitions for Young People into Adult Services	East Lothian Council to support joint working with East Lothian Health and Social Care Partnership and other relevant partners to improve outcomes for young people with additional support needs transitioning into Adult Health and Social Care services, including establishment of robust planning, policy and protocol. East Lothian Council to ensure ELHSCP has the opportunity to contribute to any relevant needs assessment or review of services for young people with complex needs transitioning into adult services. (New direction 2020-21)	Continuing
D02k	Mental Health Officer	East Lothian Council to ensure delivery of a rights based approach for patients subject to the Mental Health Act 2003 through timely access to a Mental Health Officer to help safeguard patients rights' and fulfil statutory duties, including assessment, providing information and advising on individual's rights and choices. (New direction 2020-21)	Continuing

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Directions to NHS Lothian on Hosted Services Budget: £9,284K			
No.	Title	Direction	Status
D04b	Phase 2 Royal Edinburgh	NHS Lothian to improve in-patient experience for East Lothian residents and ensure East Lothian HSCP has appropriate influence in development, decision-making and approval of a business case for phase 2 of the Royal Edinburgh Hospital Campus. The redevelopment should be based on the East Lothian bed numbers agreed by the IJB in April 2018. NHS Lothian to bring the business case to the IJB for agreement on bed numbers and financial model. (Revised in 2019-20)	Continuing
D04c	Guide Communicator Service	NHS Lothian to ensure people in East Lothian with dual sensory impairment have appropriate access to the guide communicator service to improve their access to health services and improve awareness of the service across third sector and health providers. (New direction 2019-20)	Retired
D04d	Phase 3 Royal Edinburgh	NHS Lothian to ensure better care for physical health needs of East Lothian in-patients at the Royal Edinburgh Hospital campus by proceeding with the development of the business case for Phase 3 and the planning and delivery of integrated rehabilitation services. NHS Lothian to ensure East Lothian HSCP is involved in development, decision-making and approval of the business case. (New direction 2019-20)	Continuing

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Directions to NHS Lothian on Primary Care Budget: £17,922K			
No.	Title	Direction	Status
D10b	Cluster Work	NHS Lothian to allocate to East Lothian Health and Social Care Partnership its proportionate share of all funds allocated for the development and support of GP Quality Clusters in order to support further development of Quality Improvement activities, the development of the Cluster Quality Improvement Plan (CQIP) and to meet the Cluster National Guidance, conditional on agreement between NHSL (via PCCO) and the LMC to restart GP Cluster Activity. (Revised September 2020)	Revised
D10d	Primary Care Improvement Plan	NHS Lothian to implement the Primary Care Improvement Plan (PCIP) for East Lothian covering all delivery arrangements for all aspects of the new GMS Contract. (Revised 2019-20)	Continuing
D10j	Primary Care Premises and Infrastructure	NHS Lothian and East Lothian Council to ensure sustainable premises and infrastructure, including timely implementation of eHealth solutions, for Primary Care to support future delivery of the Primary Care Improvement Plan, Covid-19 resilience, and remote access pathways. Support to premises and infrastructure to extend to future proposed developments and joint projects to support population growth in East Lothian (including at Blindwells, Whitecraig, or Wallyford). (Revised September 2020)	Revised
D10k	Transport	East Lothian Council and its Transport Department to work with NHS Lothian, East Lothian HSCP and the 3 rd Sector to design and provide flexible and responsive transport arrangements (based on improved public transport and dedicated patient transport) to enable patients to attend clinics and to receive treatment and care in the East Lothian Community Hospital, in the East Lothian Community Treatment and Care Service (CTACS) and the planned Elective Centre in St John's Hospital in Livingston. (New direction 2019-20)	Retired
D10l	Care Homes	NHS Lothian to work with the Care Inspectorate, East Lothian HSCP, East Lothian Council, relevant GP Practices, LMC, East Lothian Care Home Team and independent care home providers to develop a governance, support and training programme for all East	Revised

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

		<p>Lothian Care Homes to maintain the highest levels of anticipatory and ongoing care for residents.</p> <p>NHS Lothian to support the expansion of the Care Home Team to cover a 7 day week and the extension of its remit to include community hospitals, as well as the scope of the education role of the Team to include a wider range of topics to meet the identified needs of the care home workforce.</p> <p>Agreed arrangements must also support care home staff in maintaining their own and residents' safety while observing all COVID-related requirements.</p> <p>NHS Lothian to review and if indicated, increase investment in the Local Enhanced Service arrangements with those GP Practices providing primary care input to care homes and which support the East Lothian Care Home Team. (Revised September 2020)</p>	
D10m	Primary Care Premises	<p>NHS Lothian to instruct its Facilities Directorate to review all Primary Care buildings across East Lothian, investing where necessary in appropriate actions to ensure all COVID-related infection control requirements are observed in the use of waiting, consulting and other rooms and in managing patient movements within the building while maintaining social distance. (New direction 2020-21)</p>	Continuing

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Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Directions to NHS Lothian and ELC on Reducing Use of Acute Services and Increasing Community Provision Budget: £20,597K			
No.	Title	Direction	Status
D11a	Emergency Admissions	NHS Lothian and its acute services to work with officers of the East Lothian Health and Social Care Partnership and other HSCPs to review the provision of emergency assessment services in Lothian, with a view to streamlining this provision and reducing unscheduled hospital attendances. (Revised September 2020)	Revised
D11b	Occupied Bed Days	NHS Lothian to reduce the length of stay for all patients admitted following unscheduled admission. This is to be achieved by a reduction in delayed discharges, avoidable admission and inappropriately long stays in acute hospital and through the development of locally available community services and facilities (Continuing Direction)	Continuing
D11c	Delayed Discharge	NHS Lothian to delegate to the IJB the agreed budget for the Delayed Discharge Fund and working with East Lothian Council to continue to make progress towards delivery of delayed discharge targets and a reduction in occupied bed days, through the provision of alternatives to inpatient care. (Continuing Direction)	Continuing
D11d	Palliative Care	NHS Lothian to work with the MCN for Palliative Care, hospital, community and third sector palliative care services to provide specialist assessment of patients in their own homes, care homes or community hospitals to maximise the delivery of patient-centred end of life care at home or in a homely setting. (Continuing Direction)	Continuing
D11e	AHP Resource	NHS Lothian to provide information on the numbers of AHPs and associated resources in acute settings and to work with East Lothian HSCP to plan for the redeployment of appropriate numbers of these AHPs and associated resources to community settings to avoid admission and to support discharge of East Lothian residents. (Continuing Direction)	Continuing

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Direction to NHS Lothian and East Lothian Council on Shifting the Balance of Care for Care Groups Budget: £8,616K			
No.	Title	Direction	Status
D12a	Hospital to Home and Home Care Services Review	NHS Lothian and East Lothian Council to simplify and speed up the process for assessing and acting on an individual client's needs for care at home by completing a review of Hospital to Home and Home Care Services, including development of more effective protocols for assessment process. (Continuing Direction)	Continuing
D12d	Transforming Care for Older People	NHS Lothian and East Lothian Council to transform services for older people in East Lothian through working in collaboration with HUB Southeast approach to agree future of Eskgreen and Abbey Care Homes and Edington and Belhaven Hospitals and to deliver on the recommendations of the Housing with Care report. (Revised 2019-20)	Continuing
D12j	Extra Care Housing Implementation	East Lothian Council Housing and Officers of East Lothian Health & Social Care Partnership to: <ul style="list-style-type: none"> • Maximise independent living • Provide specific interventions according to the needs of the service user • Provide a clear care pathway which connects services • Contribute to preventing unnecessary hospital admission through implementation of recommendations from the extra care housing review (New direction 2019-20)	Continuing
D12k	Mental Health Repatriation	NHS Lothian to ensure East Lothian residents receive care closer to home through repatriation of mental health beds from Midlothian community hospital to the East Lothian Community Hospital. (New direction 2019-20)	Retired

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Direction to NHS Lothian to Support Delivery of Modern Outpatients Budget: £787K			
No.	Title	Direction	Status
D13b	Long Term Conditions (previously 'Diabetes Services')	NHS Lothian to work with East Lothian HSCP to develop the provision of high quality, local primary and secondary care services to support patients with the management of long term health conditions closer to home, with a focus on community based services. Where appropriate, this work should further build upon the new and innovative approaches to the management of long term conditions developed in response to Covid. (Revised September 2020)	Revised

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Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Direction to NHS Lothian and East Lothian Council on Support to Carers Budget: £397K			
No.	Title	Direction	
D14a	Carer's Strategy Implementation	NHS Lothian and East Lothian Council to review existing outcomes in the East Lothian Carers Strategy to ensure carers in East Lothian continue to be identified, informed and supported to maintain their own health and wellbeing, taking into account the short and medium term impact of COVID on carers and prioritising actions to mitigate this. (Revised September 2020)	Revised
D14c	SDS Implementation	To ensure that SDS training is mandatory for all ELHSCP leaders, staff across the council, NHS and third sector, who have a role in assessments and support planning, to ensure that values and principles of SDS legislation are embedded in assessment, support planning and service delivery across the partnership, conversations with supported people result in the supported person telling their story once. (Revised September 2020)	Revised

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Directions to East Lothian Council and NHS Lothian on Drug and Alcohol Services and Mental Health Budget: £9,702K			
No.	Title	Direction	Status
D15c	Mental Health Triage	NHS Lothian and ELC to work together to further develop Mental Health services across primary and secondary care. This will include services working together to refine and streamline access to services taking in to account the unscheduled care redesign. We will establish a clear interface between primary, secondary care and the third sector to ensure individual receive the right level of support at the right time. (Revised September 2020)	Revised
D15g	Primary Care Assertive Outreach	NHS Lothian to evaluate assertive outreach in primary care and ensure access to dedicated mental health and substance misuse professionals in community settings to maximise opportunities for treatment and recovery and improve the service offer across East Lothian. (Revised 2019-20)	Continuing
D15h	Mental Health Action Plan Implementation	NHS Lothian and East Lothian Council to improve outcomes in relation to mental and emotional health and well-being for people in East Lothian through establishment and delivery of the East Lothian Mental Health Action Plan, including development of community based preventative and early intervention services, crisis support and longer term recovery in line with the Scottish National Mental Health Strategy. (New direction 2019-20) (Develop new direction to replace)	Retired
D15i	Mental Health Housing Review	NHS Lothian and East Lothian Council to improve and enable recovery of people experiencing poor mental health through development and delivery of community based housing with access to appropriate support, review of Cameron Cottage and alternative models of service provision. (New direction 2019-20)	Continuing
D15j	Post Diagnostic Dementia Support	NHS Lothian and East Lothian Council to improve care for people with dementia and their families, including: <ul style="list-style-type: none"> • delivery of the 5 and 8 pillar model of support to people diagnosed with dementia, and • implementation of the Scottish Government ambition 'Transforming Specialist Dementia Hospital Care' through the transfer of resource to develop local dementia specialist care. 	Revised

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

		(Revised September 2020)	
D15k	Centralised Alcohol Services Review	East Lothian Council and NHS Lothian to improve access to alcohol services through supporting East Lothian Health & Social Care Partnership to review and assess alternative local delivery of centralised alcohol services (New direction 2019-20)	Continuing
D15l	Psychological Services Delegation	NHS Lothian to improve access to psychology services within East Lothian by reducing waiting times for East Lothian residents in line with the trajectories for psychological therapies as specified by the Scottish Government. (Revised September 2020)	Revised
D15m	Substance Misuse Services	East Lothian Council and NHS Lothian to tackle inequalities through the delivery of the Midlothian and East Lothian Drug and Alcohol Partnership (MELDAP) Plan, and to improve access to Substance Misuse Services for people in East Lothian. This includes supporting East Lothian HSCP to ensure robust management and oversight of the MELDAP Plan. (Revised September 2020)	Revised

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Direction to NHS Lothian and East Lothian Council on Community Justice Budget: £203K			
No.	Title	Direction	Status
D16a	Community Justice Partnership	<p>ELHSCP to work with Community Justice Partnership to:</p> <ul style="list-style-type: none"> • Improve understanding of community justice • Ensure Strategic planning and partnership working • Offer equitable access to services • Develop Evidence based interventions <p>(Revised in 2019-20)</p>	Continuing
D18c	Fairer Scotland Action Plan	<p>East Lothian Council to help tackle poverty, reduce inequality and to contribute to building a fairer and more inclusive Scotland through production and delivery of a local implementation plan for the Fairer Scotland Action Plan. This work must provide greater opportunities to participate in local consultations and ongoing monitoring of hate crimes against people with disabilities.</p> <p>(New direction 2019-20)</p>	Continuing
D18d	Shared Lives Service Implementation	<p>East Lothian Council to ensure people eligible for the Shared Lives service will be supported to develop relationships and share family and community life through further development and expansion of the Shared Lives service as an alternative to residential and other forms of care.</p> <p>(New direction 2019-20)</p>	Continuing
D18e	Accessible Social Work assessment	<p>NHS Lothian and East Lothian Council to ensure people in East Lothian with sensory impairment have high quality outcome and communication focussed support services with a clear service pathway.</p> <p>(Revised September 2020)</p>	Revised

Review of East Lothian Integration Joint Board Directions for 2020-21 – Recommendations for Updated Directions

Direction to NHS Lothian and East Lothian Council on Adults with Complex Needs Budget: £21,573K			
No.	Title	Direction	Status
D18a	Learning Disability Housing Strategy Implementation	East Lothian Council to maximise independent living for people with a Learning Disability and people with physical disability and/or sensory impairment, ensuring more efficient use of night time support to reduce dependency on out of area placements and reducing the exposure to stand alone single tenancies; and more options in relation to housing models with support through developing core and cluster housing and implementation of housing strategy actions. (New direction 2019-20)	Continuing
D18b	Learning Disability Action Plan	East Lothian Council and NHS Lothian to better understand and meet the needs of the people with Learning Disabilities through: <ul style="list-style-type: none"> • establishment and implementation of local Learning Disability action plan in line with 'The Keys to Life', • improved access to the Forensic Learning Disability Service so that people with a learning disability in East Lothian with a specific health care need can access relevant services within agreed timescales. • forecasting needs of the old age population of people with learning disabilities and increasing access resources as appropriate to meet their needs. (New direction 2019-20)	Continuing
D18f	Review of Community Supports - Day Services	East Lothian Council to develop its approach to day services based on providing high quality, community based services, accessible to residents over 65 across the county. Where appropriate, the new and innovative approaches necessitated by Covid should be continued and further developed. In addition, day service provision should be available in order to fulfil the responsibility to provide breaks from caring. (Revised September 2020)	Revised
D18g	Review of Community Supports - Adults with Complex Needs	NHS Lothian and East Lothian Council to support the IJB priority to transform community supports for adults under 65 with complex needs through the development of a transformation programme involving full engagement and consultation with appropriate parties. (Revised September 2020)	Revised



SBAR – Redesign of Urgent Care – Implementing the National Model in Lothian

<p>Date: 17th September 2020 Completed by: Paul Currie Area: Planning and Performance</p>	
Situation	<p>The Scottish Government, as part of its Programme for Government 2020, has initiated a national review of adult urgent care, aiming to deliver in two initial phases, from end October 2020:</p> <ul style="list-style-type: none"> • An “...overall reduction in self-presenters to ED (Emergency Department) where care can be delivered more appropriately” • The “...effective management and scheduling of the flow of self-presenters to ED and local Board services.”
Background	<p>The review reflects and will expand on the work of the Lothian Unscheduled Care Programme Board (LUCPB). This seeks to improve access to urgent care to ensure people receive the right care, in the right place, at the right time and to reduce harm caused by long hospital stays. Members include the four IJB Chief Officers in Lothian. It is chaired by Allister Short, Chief Officer West Lothian IJB.</p> <p>Delivery of improved urgent care is even more pressing in light of COVID-19 and the need to protect staff, patients and the wider public by minimising overcrowding at acute hospital front doors. Care delivered closer to home minimises the need for people to travel outside their local area to access care and ensures the benefit of any face-to-face contact in a healthcare setting outweighs the risk of attendance.</p> <p>A new 24/7 pathway for urgent care, accessed via the NHS 24 operated 111 telephone number, will direct people who are not in need of immediate emergency treatment to a clinical assessment by phone prior to travelling to a Minor Injury Unit (WGH, RIE, SJH) or Emergency Department (RIE, SJH) if indicated or to community (GP or community Pharmacy) services. This will ‘smooth’ demand on the front door. The existing primary care out of hours service (LUCS) and COVID community pathways will continue to be accessed via 111.</p> <p>An expanded and 24/7 Lothian Flow Centre will oversee all NHS24 referrals and will schedule virtual and face-to-face appointments to Lothian services.</p>
Assessment	<p>Around 20% of people who currently access the ED could receive appropriate care at home or closer to home.</p> <p>GP provide most urgent care. To avoid system overload, it is not intended to transfer this activity to 111.</p>
Recommendation	<p>East Lothian IJB is asked to:</p> <ul style="list-style-type: none"> • Note the planned work to direct appropriate activity from the acute hospital front door to other provision utilising NHS24 and the 111 telephone service • Agree to receive regular updates on progress of the redesign programme as phases 1 and 2 begin to deliver.
Further Information	<p>Appendix 1 - Redesign of Urgent Care – Implementing the National Model in Lothian Protecting Scotland, Renewing Scotland: The Government's Programme for Scotland 20-21</p>

Appendix 1 - Urgent Care Redesign – Implementing the National Model in Lothian

1. Purpose

- 1.1 This paper provides an update on the national redesign of urgent care programme and its planned delivery across Lothian.

2. Background

- 2.1 Our aims of working across the health and social care system to provide quality care as close to home as possible, promoting independent healthy lives, and reducing unwarranted harm caused by long hospital stays, are now even more important as we seek to reduce the risk of Covid-19 infection to patients and the wider public.
- 2.2 We need to minimise the need for patients to travel outside their local area to access care and ensure the benefit of any face-to-face contact in a healthcare setting outweighs the risk of attendance.
- 2.3 The national redesign of urgent care programme accelerates the work that was being developed through the Lothian Unscheduled Care Programme Board (which includes membership of the four Lothian IJB Chief Officers and is chaired by Allister Short, Chief Officer West Lothian IJB). This Board aims to improve access to urgent care pathways so people receive the right care, in the right place, at the right time.
- 2.4 Scottish Government have set out in their Programme for Government 2020 that the first phase of the redesign of urgent care will be in place by Winter, in order to protect the public, patients and staff by minimising overcrowding at acute hospital front doors. Current access to urgent primary care or emergency care will remain unchanged. However, it is estimated that around 20% of people currently accessing care at acute front doors could receive the care they need at home or closer to home.
- 2.5 A new 24/7 pathway for urgent care, via a national single point of access provided by NHS24 on 111, will encourage people who are not in need of immediate emergency treatment to get a clinical assessment by phone prior to travelling to a Minor Injury Unit or Emergency Department.
- 2.6 For those people that NHS24 determine need further clinical consultation they will refer them to local hubs to provide further assessment by providing virtual or face-to-face consultations in as scheduled a way as possible.

3. Implementation in Lothian

- 3.1 We are taking a phased approach in Lothian working across the acute sites and HSCPs for implementation. A project infrastructure has been established with a project operational delivery group and new project board meeting weekly to enable progress and decisions to take place at pace. The project board reports to the Lothian Unscheduled Care Programme Board. The aims and deliverables of the two phases of the project are described below.

3.2 Phase 1 aims and deliverables – planned ‘go live’ end of October 2020

- Schedule as many adult self-presenters to the acute front doors as possible to smooth demand, reduce overcrowding and reduce Covid infection risk (children are out of scope).

Appendix 1 - Urgent Care Redesign – Implementing the National Model in Lothian

- Deliver this by a national single point of access through NHS24 (available 24/7 via the 111 telephone service), while continuing to provide existing primary care out of hours service and Covid community pathway also via 111.
- One Lothian interface with NHS24 via an expanded Flow Centre to provide oversight and administration for all NHS24 referrals to Lothian 24/7 – receiving referrals and scheduling virtual and face-to-face appointments to Minor Injury Units (MIUs) and Emergency Departments (EDs) as follows:
 - a. Minor Injuries Assessment (Western General Hospital (WGH) MIU, Royal Infirmary of Edinburgh (RIE) MIU, St John's Hospital (SJH) ED)
 - b. RIE ED
 - c. SJH ED
 - d. Covid Assessment Centre(s) (as per existing mechanism)
 - e. Lothian Unscheduled Care Service (LUCS - as per existing mechanism)

3.3 Phase 2 aims and deliverables – to be implemented from November 2020 with timeline to be determined

- Sustainable urgent care pathways that provide the right care in the right place at the right time – improving patient and professional experience, providing care closer to home and reducing hospital admissions, including:
 - Same day community care services
 - Same day secondary care services
- Enhanced processes for secondary care triage of same day referrals from GPs or other Healthcare Professionals via the Flow Centre
- Access to all referral pathways to SAS clinicians

4. Risks

- 4.1 While this new urgent care model is a welcome development to improve access to unscheduled care services to Lothian residents in a way that provides care closer to home, there are a number of risks that will need to be mitigated through project delivery:
- This model depends on people accessing care firstly via NHS Inform and Pharmacy First, and then via their own GP. Most urgent care is provided by GPs. If a small proportion of those people who would normally contact their own GP call 111 there is a risk that this pathway will be overwhelmed. Rather than reduce demand at the acute front doors this would generate more demand, particularly in the early implementation when alternative pathways are still being developed. Clear national and local public messaging is required to reduce the likelihood of this happening.
 - This model could introduce additional non-value adding steps into the patient journey providing a poor experience, and potentially passing people around the system. For this reason, effective triage and signposting at the NHS24 initial triage stage is crucial.

5. Next steps

- 5.1 Phase 1 project implementation is well underway. Further updates will be provided.



Date: 8th September 2020
Completed by: Diane Gray
Area: Planning and Performance

Situation	East Lothian Health and Social Care Partnership (ELHSCP) has a duty to assist in controlling the pressures on Lothian’s acute hospitals during the winter months. This is achieved each year through a range of local actions. This year a scaled-up Flu vaccination programme brings extra demands as numbers needing vaccinated are increased.
Background	<p>Each year NHS Boards are required to draw up plans to ensure resilience over winter. This is in response to well-documented additional pressures experienced in hospitals during this period resulting from flu and adverse weather. For 2020, there is the added factor of COVID-19 and an enlarged Flu vaccination programme. Winter planning is co-ordinated through joint work between all four HSCPs and NHS Lothian.</p> <p>ELHSCP’s winter plan utilises local teams and resources to support people at home, to reduce inappropriate admissions and to maintain delayed discharge performance. Proposals to augment local services through short-term financial investment were approved by NHS Lothian Unscheduled Care Committee.</p>
Assessment	<p>The services that will provide Winter resilience in East Lothian are:</p> <p><u>Enhanced Discharge to Assess:</u> This provides intensive rehabilitation, to support discharge, and to prevent admissions. It also utilises Third sector volunteers. Through this approach and the agreed stroke pathway, East Lothian Stroke Unit patients are discharged up to 10 days earlier to receive active and effective rehabilitation in their own home. The Advanced Physiotherapy Practitioner and the Hospital at Home Teams will also manage patients with Chronic Obstructive Pulmonary Disease at home.</p> <p><u>7 Day Working Patient Flow Team:</u> Weekend and extended weekday hours within this service will allow close working with discharge teams in the two acute sites. Due to extended working hours, early decision-making will be enhanced, facilitating speedier assessment of need and allocation of community resources. This will hasten discharge from wards and address bottlenecks in workload that normally build over the weekend.</p> <p><u>Increased Hospital to Home Capacity:</u> This will ensure patients have the correct package of care at the point of discharge and reduce the number of patients within acute beds awaiting packages. The Team’s ‘reablement’ approach increases patient independence and improves function.</p> <p><u>The East Lothian Home Care Service:</u> Increased capacity will maintain more people at home and increase the team’s ability to take hospital discharges. Further increase in the capacity of the Hospital to Home Team to provide packages of care within the community will reduce the number of patients waiting within acute beds, ensuring that the patient returns to the community when medically fit.</p>
Recommendation	<p>The IJB is asked to:</p> <ul style="list-style-type: none"> • Note the planned service development and delivery arrangements to prepare for the additional service pressures, which, as in previous years, are likely to arise in the Lothian acute hospitals during the winter months • Note that the ELHSCP Flu Programme is being established • Note that the usual winter demand this year is likely to be adversely affected by the continuing presence of COVID-19 and the possibility of further peaks in COVID-19 presentations. • Note links are established to the continuing work through the Lothian Remobilisation Plan and the work underway to review unscheduled care.
Further Information	Appendix 1 – Draft ELHSCP Flu Programme



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 17th September 2020

BY: Chief Officer

SUBJECT: Winter Planning

1 PURPOSE

- 1.1 This report presents East Lothian HSCP's plans to assist in controlling the pressures on Lothian's acute hospitals during the winter months.
- 1.2 It should be noted that this report does not cover the ongoing resilience work being undertaken across partners to plan for business continuity across the county.

2 RECOMMENDATIONS

- 2.1 The IJB is asked to:
 - i. Note the planned service development and delivery arrangements to prepare for the additional service pressures which, as in previous years, are likely to arise in the Lothian acute hospitals during the winter months;
 - ii. Note that the ELHSCP Flu Programme is being established;
 - iii. Note that the usual winter demand is likely this year to be adversely affected by the continuing presence of COVID-19 and the possibility of further peaks in COVID-19 presentations; and
 - iv. Note links are established to the continuing work through the Lothian Remobilisation Plan and the work underway to review unscheduled care.

3 BACKGROUND

- 3.1 Each year NHS Boards are required to draw up plans to ensure resilience over winter. This is in response to well-documented additional pressures experienced in hospitals during the winter e.g. resulting from flu and adverse weather.
- 3.2 The winter planning process is managed through a partnership approach involving the 4 HSCPs and NHS Lothian. Operational and planning

colleagues in East Lothian HSCP are developing the local Winter Plan elements to utilise local teams and local resources to support people at home, to reduce inappropriate admissions and to maintain delayed discharge performance.

- 3.3 Proposals to augment local services through short-term financial investment have been developed by the East Lothian HSCP team and subsequently subjected to peer review on a Lothian-wide basis. The plans are set out below.

3.3.1 Enhanced Discharge to Assess

- This will provide intensive rehabilitation, once per day per patient when and where appropriate, within the community setting. It will also support discharge, prevent admissions and maximise patient potential towards continuous and sustained self-management by utilising third sector volunteers across the county.
- The intensive rehabilitation model has been successfully implemented within East Lothian central cluster and has reduced bed utilisation. This work will be enhanced. In the East Lothian Stroke Unit, patients are being discharged the team utilising the agreed stroke pathway up to 10 days earlier than before. This ensures patients receive active and effective rehabilitation in the community within their own home, so aiding recovery.
- Patients with Chronic Obstructive Pulmonary Disease who would ordinarily be admitted to the Royal Infirmary of Edinburgh during an exacerbation of their condition will be managed at home by the Advanced Physiotherapy Practitioner and Hospital at Home Teams. Support includes including administering IV antibiotics at home.

3.3.2 7 Day Working Patient Flow Team

- Weekend and extended weekday hours within the Partnership patient flow and social work teams will allow them to work closely with the discharge teams in the two acute sites to reduce length of stay associated with delayed discharges.
- The opportunity to have social work staff available at the weekends will support early decision making by patients and relatives, especially in identifying care home homes. This will facilitate speedier assessment of need, enabling care packages to be established across 7 days instead of 5, allowing community resources to be allocated faster and hastening discharge from acute wards. This would address bottlenecks in workload building over the weekend.

3.3.3 Increase Hospital to Home Capacity

- This will ensure patients have the correct package of care at the point of discharge and reduce the number of patients within acute beds waiting on packages. In order to avoid hospital admission, the Emergency Care Service links with the Hospital to Home Team and will respond quickly to anyone in the community who require immediate intervention at home such as those who have had a fall or those individuals who are reliant on relatives to care for them and this breaks down.
- The Hospital to Home team within East Lothian has, over the years, increased from one team to six including a 'double up' team. The team uses a 'reablement' approach to increase patient independence and to improve function. Over the last year it has successfully supported circa 500 patients to return home. The East Lothian Home Care Service also links to the Hospital to Home Team and with increased capacity, will enhance their current ability to maintain more people at home, as well as an increasing the number of hospital discharges they support.
- A further increase in the capacity of the Hospital to Home team to provide packages of care within the community will reduce the number of patients waiting on packages within acute beds and will ensure that patient return to the community when medically fit.

3.4 These proposals have been considered alongside a range of proposals by other Lothian HSCPs and the Acute Services Division. These have now been approved by the NHS Lothian Unscheduled Care Committee

4 ENGAGEMENT

4.1 East Lothian HSCP Management Team discussed and agreed submissions based on evidence from current practice within a challenging timeframe for submissions and with experience of previous winter actions.

5 POLICY IMPLICATIONS

5.1 Reducing hospital admissions and avoid unnecessary delays in hospital discharge are key targets for IJBs. While there is a need to redesign services on a sustainable basis over the longer term to reduce pressures in hospitals, it is also necessary to take short-term measures to introduce capacity, flexibility and innovation into the East Lothian service offer. This will ensure that East Lothian patients benefit from any additional resource made available to modernise and improve services, in winter and during the rest of the year.

6 INTEGRATED IMPACT ASSESSMENT

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

7 DIRECTIONS

- 7.1 This proposal supports Directions:
D11b – Occupied Bed Days and D11c – Delayed Discharge

8 RESOURCE IMPLICATIONS

- 8.1 NHS received £1.4m from the Scottish Government. NHS Lothian will have to top up the funds to approximately £3.6m. East Lothian HSCP has received its requested funding of £196,524.
- 8.2 Personnel – Recruitment is underway all positions required to support the plan.
- 8.3 Other – None

9 BACKGROUND PAPERS

- 9.1 None at present.

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DATE	7 th September 2020

Appendix 1: ELHSCP Draft Flu Programme

Appendix 1

EAST LoTHIAN HEALTH & SOCIAL CARE PARTNERSHIP

WINTER FLU PROGRAMME 20/21

1 Purpose of the Report

- 1.1 The purpose of this report is to outline the winter flu programme for East Lothian HSCP for 2020/21.

2 Summary

- 2.1 The winter flu programme for 2020/21 represents a considerable challenge to operational delivery, and therefore a joint approach is being taken within East Lothian that will see the combined efforts of GP practices and the HSCP working together to provide vaccines to identified patient cohorts.

- 2.2 Demand is anticipated to be heightened as a consequence of increased public health awareness arising from COVID, and the extension of additional priority patient cohorts as specified by Scottish Government in its CMO letter of Monday 10 August 2020. The complications of providing flu vaccinations whilst ensuring social distancing and adequate health infection protection measures further complicates the requirements for successful delivery of significant volumes of vaccines to East Lothian patients.

- 2.3 In June 2020, the HSCP confirmed with GP practices across East Lothian the shared responsibility of vaccinations amongst the two most sizeable and significant patient cohorts; these are:

- *at risk* 18-64 year olds (HSCP)
- 65+ age cohort (GPs)

- 2.4 This remains the agreed allocation of this work and plans are well established to deliver on these commitments.

- 2.5 The Scottish Government has indicated the inclusion of vaccinations for the 55-64 age cohort from December 2020 onwards. Within East Lothian, a combined approach as follows:

- Some GP practices will deliver dedicated clinics for these patients, with payment via established fee arrangements. Practices will be asked to confirm their participation in such clinics before the end of September 2020
- Additional HSCP clinics will be provided from December onwards to provide additional capacity for patients in this cohort unable to be vaccinated through other routes

2.6 It is highly likely that flu clinics may be required to extend into January 2021 in order to respond to the anticipated heightened demand.

2.7 HSCP flu clinics (18-64 at risk cohort)

2.8 The HSCP Primary Care Team is overseeing the provision of dedicated clinics to target vaccinations for the *at risk* 18-64 age cohort. Clinics will be provided from a range of NHS and East Lothian Council (ELC) facilities across the county. These clinics will be staffed by NHS employees providing both clinical and administrative/logistics support – these staff are being recruited from internal departments and NHS Lothian staff bank, and booked into locally held clinic rotas.

2.9 The HSCP will provide booked appointments for its clinics in order to mitigate any possible risk of COVID spread arising from large groups of patients self-presenting at open (unbooked) clinics.

2.10 The booking of these clinics will be *clerically* administered via GP practices. The HSCP will advise each GP practice of the total number of appointments it is able to provide for its patients based upon the clinical staff recruited to each HSCP clinic. Through a range of coordinated communication measures, patients will be advised to contact their own GP practice to make a booked appointment on a HSCP clinic. The practices will provide the HSCP with their completed booked appointment schedules in the working days immediately prior to the clinics taking place in order for the HSCP to administer its clinics.

2.11 There is recognition of the inherent risk of communication and logistics difficulties arising from the booking process as outlined, since it requires the coordination of booking arrangements from amongst all 15 East Lothian practices prior to clinics being operated by HSCP. Nonetheless, a strength of this approach is the familiarity of patients booking appointments directly with their own GP practices, even though in this instance delivery is by HSCP. Furthermore, it was recognised that HSCP did not have the existing administrative and clerical capacity to be able to create and deliver a consolidated telephony booking system in sufficient time to support the delivery of the flu programme within the 20/21 season, though this will be considered for future years.

2.12 The current version of the delivery programme of HSCP clinics during autumn 2020 is provided as an appendix. This schedule may be subject to change, owing to key logistics considerations (including adequate delivery of vaccine to HSCP). Further dates have also been provisionally set aside in the expectation that additional clinics be required to meet the higher levels of predicted demand/uptake, and to account for the increased patient cohorts included in scope for 2020/21 vaccine provision.

2.13 In addition to these large, sessional clinics, the HSCP is undertaking planning to explore being able to offer more flexible, open clinics for patients from within existing clinical services, such as CTACs. This would allow for more opportunistic uptake of flu vaccines to continue following the larger scale sessions have concluded.

2.14 GP practice flu clinics (65+)

2.15 East Lothian GP practices are organising their plans for the provision of vaccines to 65+ age cohort patients. All practices are cognisant of the requirement to provide their flu clinics in a manner that complies with safe standards of social distancing and patient flow in line with COVID requirements.

2.16 In the majority of instances, practices are confident they will be able to provide flu clinics under amended arrangements from within their own practices. However, in a small number of cases, the HSCP is working with individual practices to explore/provide alternative accommodation where that is deemed required.

2.17 Previously, many GP practices within East Lothian have provided open clinics for their flu vaccination delivery – in this instance, consideration is being given to booked clinics as an alternative means of avoiding large gatherings of patients within practices.

2.18 Other patient cohorts

2.19 Additional subset cohorts of patients – and the lead organisation(s) responsible for the delivery of vaccinations – are outlined as stated within the attached table (see appendix). These additional groups represent smaller subsets of patients and staff required to be targeted for vaccine provision. Nonetheless, considerable local planning amongst the designated teams has been undertaken to ensure high compliance of vaccine provision amongst all listed groups.

2.20 The HSCP will undertake a considerable programme of staff vaccination clinics. The delivery schedule for these clinics is as attached.

2.21 Communication

2.22 East Lothian has confirmed its request for national letters to be issued to patients within the following cohorts:

- 65+ age cohort
- 2-5 age cohort

2.23 The HSCP has agreed with GP Practice Managers a communication letter for local, East Lothian issuing for the *at risk* 18-64 age cohort (attached). Historically, there has been a range of communication approaches adopted amongst practices for inviting this patient cohort for vaccine – the

HSCP intends to dovetail local practice administration arrangements where possible and practicable, in order to maintain clear communication for patients whilst also achieving a high level of engagement with this patient cohort to achieve the elevated target for vaccine delivery.

- 2.24 Separately, the HSCP has identified a communications strategy for wider East Lothian awareness raising of the flu programme for 2020/21, with the general overview document provided as an appendix.
- 2.25 The HSCP will emphasise the opportunity for patients to be able to seek their vaccine from a participating community pharmacy within East Lothian, thereby providing an alternative source for patients and consequently reducing the central burden falling to HSCP services and GP practices.

2.26 Anticipated Activity & Vaccine Uptake

- 2.27 The most significant individual cohorts of patients targeted for uptake are listed in the attached table. Broadly, it is noticeable that uptake for the flu vaccine within 2020/21 is targeted to be higher than historical levels of both national target and attained levels than has been experienced historically.
- 2.28 The flu programme of 2019/20 noted a total of 6,161 patients of *at risk* 18-64 y/o patients from East Lothian were vaccinated (41.2% of total 14,949 patient cohort). The Scottish Government has indicated a target of 75% be attained for the same patient cohort within the 2020/21 flu programme – achievement of this target would see more than 11,200 patients vaccinated in 2020/21 (based on 2019/20 cohort size).
- 2.29 Historically, the 65+ age cohort has achieved a higher level of attainment, 75.1% within 2019/20. Therefore, whilst there is less headroom for growth within this cohort, it is also predicted that higher levels of demand will be observed.

3 Resource Implications

- 3.1 There are significant additional costs attributable to the flu programme within East Lothian for 2020/21, reflective of the complexity of provision within the programme for this season.
- 3.2 The resource implications are outlined within the attached *provisional* cost model. These focus specifically on the costs arising from the HSCP provided clinics, for the *at risk* 18-64 age cohort.
- 3.3 Many additional costs require further clarification across the Partnership, though many of the costs are anticipated to be able to be absorbed within operational services without the requirement for additional working (including overtime clinics). The work streams associated with local communication efforts will incur costs for various media products.

- 3.4 A significant financial outlay has been incurred by HSCP for the procurement of high capacity flu vaccination storage clinics, with eight items ordered for procurement at a cost estimated at c. £30k (inc. VAT). These items are being bought now in order to support the requirements of future flu vaccination programmes from 2021/22 onwards when responsibility for the programme will have transferred in full to the HSCP from GP practices.
- 3.5 The HSCP will negotiate a local reimbursement payment with GP practices to reflect their administrative support in the patient booking, appointment scheduling and updating of patients' medical records arising from the HSCP clinics. This will be separate to any arrangements made with practices corporately as regards fee payment for enhanced service provision.
- 3.6 HSCP is fully aware that a national arrangement is being made as regards the negotiation on the fee of service for the payment to be made to GP practices for their participation within the flu programme. The HSCP will adhere to any Lothian- and Scotland-wide arrangements as regards the rate of payment, and will continue to participate in NHS Lothian's PCCO-led discussions accordingly.
- 3.7 Governance & Risk Considerations**
- 3.8 An overview of the main risks to be addressed within the programme is attached as an appendix to this document.
- 3.9 The 2020/21 flu programme represents a significantly amended delivery model operating in the most difficult circumstances experienced within primary care as a result of COVID. Consequently, the HSCP and its partners are acutely aware of the heightened risks arising in relation to the effective delivery of the flu programme within 2020/21.

Jamie Hetherington
Primary Care Development Manager
Monday 7 September 2020

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Appendix 1: Table: Primary Route for Vaccine Delivery, EL Flu Plan 20/21
Appendix 2: Governance and Risk Considerations – Summary
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Appendix 6: 18-64 *at risk* letter
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Appendix 1: Primary Route for Vaccine delivery, EL Flu Plan 20/21

Note: Communication materials will direct patients to specific locations to receive their flu vaccine, though opportunistic vaccine delivery will be encouraged through any and all routes.

Patient Cohort	Lead Provider	Note
65+	GP Practices	GP Practices will target delivery through
18-64 <i>at risk</i> patients	ELHSCP	HSCP to run short cycle of flu clinics in key locations across East Lothian
Housebound patients	ELHSCP	CTAC service and District Nursing Teams to administer vaccines. Consideration to be given to other patients within the home who may be vaccinated at the same time.
Care Home Residents	ELHSCP	East Lothian Care Home Team
50-64* / 55-64	TBC	HSCP and GP practices to contribute jointly. GP practices able to provide additional clinics will be paid via established fee route. HSCP to include additional clinics for later stages of flu campaign to support secondary cohort.
NHS Staff	ELHSCP	Peer to peer administration by nursing teams within hospital and community services
ELC Social Care Staff	ELHSCP	Model as adapted from previous years, with clinics established within key ELC offices and facilities, including ELC Resource Centres and their staff.
Private/3 rd Sector Social Care Staff	Care Home Team / ELHSCP	ELHSCP Care Home Team will vaccinate staff opportunistically whilst visiting Care Homes.
Others	Community Pharmacy	A proportion of patients out with specified groups will seek vaccination from community pharmacy and similar commercial settings (e.g. Pharmacy-provided sessions within Supermarkets). Participating community pharmacies to be provided with x70 vaccines each initially. Confirmation being sought from LUCS as to whether opportunistic vaccines can be provided from Out of Hours base at ELCH (email to Dawn Anderson, 09/07)
2-5 age cohort	Community Health Visiting Service	A separate sub-plan will be developed by Jill Irwin and provided to Lorraine Cowan (July 2020)

Appendix 2: Governance and Risk Considerations – Summary:

All HSCP delivered flu vaccines will be by appropriately trained and registered clinical staff.

For GP practices and their staff participating in off-site flu clinics MDDUS/MDU advice will required to be sought re. off-site flu delivery programme for practices.

#	Risk	Likelihood	Impact	Score	Mitigation/Controls
1.	There is a risk that data extraction from practices is not available in sufficient time	U	M	L	Mitigation – liaise with practice to have date extracted by practice; requirement to ensure all appropriate data governance arrangements are adhered to.
2.	There is insufficient Supply of PPE to allow for safe delivery of flu clinics	U	H	M	Wider arrangements in hand for security of PPE supply lines for primary care (inc. GPs) to be formalised for prolonged interim. Pat Wynne chairing approach involving all HSCTPs.
3.	There is insufficient ability to maintain safe social distancing within all flu clinics, making processes less efficient and leading to fewer flu vaccines being administered	U	H	M	Option for alternative premises to be provided to support GP practices unable to provide clinics within their premises Opportunity for GP practices to extend flu vaccine clinics (half- to full-day; single to multiple sessions)
4.	There is insufficient staffing to run required HSCP clinics	P	H	M	Revert to what clinics we can with what staff we have – ie smaller weekday/evening clinics in ctacs, MPCC, ELCH, across practices as rooms/staff dictate Emphasis on opportunistic vaccination wherever possible important on top of other measures
5.	There is insufficient rate of uptake for HSCP flu clinics	U	M	M	Targeted communications strategy Monitoring of uptake in real time, to tailor later communications and follow up HSCP clinics/directions to GP practices.

#	Risk	Likelihood	Impact	Score	Mitigation/Controls
					Promote community pharmacy alternative (pharmacies supported with initial x70 vaccines per participating pharmacy [totally c. 1,400 within East Lothian])
6.	There are difficulties in identifying the patients to be targeted.	U	M	L	Patients identifiable via clinical audit arrangements.
7.	There is insufficient supply of vaccines	P	H	M	To be addressed by NHS Lothian, Public Health. ELHSCP has raised concern of the need for a prioritisation matrix of patient type should there be insufficient supply of vaccines
8.	There is insufficient capacity of HSCP clinics to meet demand (including additional 55-64 age cohort*)	P	H	M	Mechanism for payment of Enhanced Service for GPs for 55-64 established. HSCP to deliver extended programme of clinics for longer time period (December 2020 onwards)
9.	There is a risk of difficulties in booking patients into HSCP via GP practice route.	P	M/H	M/H	Allocation of appointments to practices proportional to historical demand. Design of automated process being undertaken to allow transfer of information from GP systems into Excel to support administration of clinics by HSCP

Appendix 3: Financial Cost Model: HSCP provided clinics (provisional costing)

Spend Category	Description	Cost (£k)
Pay	Band 3 Admin - 4 WTE per day	5
Pay	Band 5 Nurse - 4 WTE per day	7
Pay	Band 6 Nurse - 3 WTE per day	6
Pay	Band 7 Nurse - 3 WTE per day	8
Pay Total		26
Non pay	Rental/Cleaning of Venues	6
Non pay	Equipment	5
Non pay	Sundry Items	5
Non pay	Advertisement	2
Nonpay Total		18
Total Cost		43

Appendix 4: Patient Cohort Data (including Scottish Govt Targets)

		2020/21 Target %	Total Population	Total Targeted Headcount
Adult	65yrs +	85%	22338	18987
Adult	All at risk (18-64)	75%	14949	11212
Adult	Extra 55-64 (exc at Risk)	70%	15384	10769
Adult	Extra 50-54 (exc at Risk)	70%	8349	5844

Appendix 5: East Lothian Flu Programme 2020/21: Communication Strategy

Overview:

20/21 flu programme will be a combination of GP and HSCP delivered initiatives. There is a requirement for comprehensive and consistent communications to be made to patients, staff and stakeholders throughout East Lothian to ensure an effective vaccination programme is delivered.

Media (Products & Means):

- **Newspaper:** Article and advertisement within the East Lothian Courier newspaper. Meet with journalist to complete article and run advertisement campaign alongside – emphasise it as a clinician-led story (for nurse led delivery model for HSCP; option to request participation of GP representative within feature too). Article to be in print and online
- **Radio:** Provide interview/recorded public announcement to both East Coast Radio and Saltire FM. Commit to announcements being run through the course of autumn
- **Social Media:** use existing HSCP accounts and those of key partners (GPs; ELC, &c.) to get message out
- **Videos:** Production of short video clips providing more information on the
- **Posters:** with footfall reduced within GP practices, the impact of posters this year will be minimal. Practices may wish to develop materials for their own vaccination clinics and, where done, reference to be made to approach for patients who will be vaccinated by HSCP via non-GP practice route
- **Newsletters:** Make use of existing arrangements for those organisations that produce newsletters (e.g. Carers of East Lothian; existing PPGs[where available])
- **Internal Communications:** communication with staff groups via internal email and line management messaging to make arrangements for vaccinating those staff that require it. Make use of the following:
 - Alison's blog (ELHSCP)
 - ELC *Inform* monthly employee newsletter (possibly within *Wellbeing Wednesday*)
- **Business cards:** consider production of key messaging via business cards for 'dropping off' opportunistically where possible
- **Text messaging:** communication via GP practices where those practices issue text message updates to patients. Throughout 20/21 flu programme, the requirement to work in close conjunction with the Practice and Business Managers to ensure plans across East Lothian dovetail.

Key Media messages:

- Provide the key when; where; who messaging for patients, emphasising clearly where they ought to be directed for their vaccination to be given
- Emphasise difference of approach for 20/21 – patients must be aware that a different approach from usual is being taken
- Approach being taken to maximise safety for patients and staff

- Inform how patients are able to provide feedback on their experience for future years
- Clear, succinct messaging with onward links for further information

Materials & Costs:

- Courier advertisement. Cost TBC. Content to be written up to provide information for public
- East Coast Radio: Announcement production (£120) and monthly (£70 p/m) announcement running
- Saltire FM: Announcement production (£TBC) and monthly TBC70 p/m) announcement running
- Residual costs arising from use of various media (e.g. text messaging services; printing)

Evaluation:

- Learning from 20/21 approach to be gathered and used to inform 21/22 cycle when HSCP assumes full responsibility
- Create online survey for patient feedback of flu programme using East Lothian Consultation Hub
- Include link/reference to evaluation survey within key communication materials provided to patients & stakeholders

Appendix 6: 18-64 At Risk Letter

Patient Name/Address

Dear Sir/Madam

Your annual flu vaccination is now due

The flu virus infects many people every year and can cause serious illness and death. The best way to protect yourself is to have a flu vaccination.

The vaccination is **free** and recommended **yearly** for people aged under 65 who are **most at risk** from flu. This includes:

- anyone with a long-term medical condition, for example: *diabetes, asthma, COPD, kidney disease*
- pregnant women.

Weekend flu clinics

We are making some changes to flu vaccination clinics this year. East Lothian Health and Social Care Partnership (ELHSCP) is running special weekend flu clinics across East Lothian. These are for people in the most-at-risk group.

Your local GP will not be vaccinating you. Our clinical teams will vaccinate you instead. Our clinics will work in line with social distancing. We will have strict infection control measures in place to reduce the risk of COVID19.

What you need to do:

1. Book an appointment by phoning your own GP practice
2. Note down your appointment so you don't forget. We have added a section for this in this letter (over the page)
3. If you have any COVID-like symptoms on the day of your appointment, **please do not attend the clinic.**

What to do if you cannot attend the weekend clinic appointment:

Many local pharmacies are offering free flu vaccination services to:

- people aged under 65 in the most-at-risk group
- people aged over 65.

Ask your local GP practice for more information about this.

IMPORTANT INFORMATION:

Please bring this letter with you to your flu clinic appointment.

Please wear clothing that makes it easy for you to expose one arm

Please wear a mask or face covering

Observe Social distancing guidelines

You can find more information about flu vaccination at www.nhsinform.scot

For patient's own use:

(please note down your appointment booking)

Date of clinic:

Time slot:

Venue:

For official use only (HSCP staff only):

Clinician Initials:

Forename: _____

Surname: _____

DOB/ CHI: _____

Vaccination site: _____

Batch Number/Sticker: _____

GP Practice: _____

Appendix 7: Table of East Lothian Staff Flu Clinics

PLEASE NOTE THESE ARE NOT DROP IN SESSIONS. APPOINTMENT SYSTEM IN PLACE UNDER C-19 GUIDELINES

To book an appointment, please ONLY call on Mon, Tues & Thurs between 10 am and 12

noon on 01620 642965/42965 OR Mon-Fri between 2 pm and 4 pm on: 01620 642824/

42824 Randall House, Macmerry Appointments: 01875 824073

DATE	TIME	CLINIC / DEPARTMENT	ADDRESS
Mon 5th October	7 am to 4 pm	Tantallon Meeting Room, 1st Floor	East Lothian Community Hospital
Mon 5th October	10 am to 4 pm	Esk Meeting Room, 1st Floor	East Lothian Community Hospital
Tues 6th October	10 am to 4 pm	Quiet Room, Crookston Day Centre, Tranent	Sanderson's Wynd, Tranent
Tues 6th October	9.30 am to 4.00 pm	Lammermuir Meeting Room, 1st Floor	East Lothian Community Hospital
Tues 6th October	10 am to 4 pm	Tantallon Meeting Room, 1st Floor	East Lothian Community Hospital
Weds 7th October	10 am to 4 pm	Randall House, Rm 3	Macmerry
Thurs 8th October	10 am to 4 pm	Randall House, Rm 3	Macmerry
Fri 9th October	10 am to 4 pm	Treatment Room, Belhaven	Belhaven Hospital, Dunbar
 			
Mon 12th October	7 am to 4 pm	Tantallon Meeting Room, 1st Floor	East Lothian Community Hospital
Mon 12th October	10 am to 4 pm	Esk Meeting Room, 1st Floor	East Lothian Community Hospital
Tues 13th October	10 am to 2.30 pm	Tantallon Meeting Room, 1st Floor	East Lothian Community Hospital
Tues 13th October	10 am to 2.30 pm	Esk Meeting Room, 1st Floor	East Lothian Community Hospital
Tues 13th October	10 am to 4 pm	Quiet Room, Crookston Day Centre, Tranent	Sanderson's Wynd, Tranent
Weds 14th October	10 am to 4 pm	Randall House, Rm 3	Macmerry
Thurs 15th October	10 am to 4 pm	Esk Meeting Room, 1st Floor	East Lothian Community Hospital
Thurs 15th October	10.30 am to 4 pm	Tantallon Meeting Room, 1st Floor	East Lothian Community Hospital
Fri 16th October	10 am to 4 pm	Randall House, Rm 3	Macmerry
 			
Mon 19th October	10 am to 4 pm	Randall House, Rm 3	Macmerry
Tues 20th October	10 am to 4 pm	Quiet Room, Crookston Day Centre, Tranent	Sanderson's Wynd, Tranent
Tues 20th October	10 am to 4 pm	Randall House, Rm 3	Macmerry
Thurs 22nd October	10 am to 4 pm	Treatment Room, Belhaven	Belhaven Hospital, Dunbar
Sat 24th October	10 am to 2 pm	Esk Meeting Room, 1st Floor	East Lothian Community Hospital
Sat 24th October	10 am to 2 pm	Tantallon Meeting Room, 1st Floor	East Lothian Community Hospital
Sun 25th October	10 am to 2 pm	Esk Meeting Room, 1st Floor	East Lothian Community Hospital
Sun 25th October	10 am to 2 pm	Tantallon Meeting Room, 1st Floor	East Lothian Community Hospital
 			
Mon 26th October	7 am to 4 pm	Tantallon Meeting Room, 1st Floor	East Lothian Community Hospital
Mon 26th October	10 am to 4 pm	Esk Meeting Room, 1st Floor	East Lothian Community Hospital
Tues 27th October	10 am to 4 pm	Quiet Room, Crookston Day Centre, Tranent	Sanderson's Wynd, Tranent
Tues 27th October	10 am to 4 pm	Randall House, Rm 3	Macmerry
Weds 28th October	10 am to 4 pm	Lammermuir Meeting Room, 1st Floor	East Lothian Community Hospital
Weds 28th October	11 am to 4 pm	Esk Meeting Room, 1st Floor	East Lothian Community Hospital
Thurs 29th October	10 am to 4 pm	Randall House, Rm 4	Macmerry
Fri 30th October	10 am to 4 pm	Treatment Room, Belhaven	Belhaven Hospital, Dunbar