

DUNDEE CITY COUNCIL

REPORT TO: POLICY AND RESOURCES COMMITTEE – 7TH DECEMBER 2015
REPORT ON: HEALTH AND SOCIAL CARE INTEGRATION
REPORT BY: HEAD OF SERVICE STRATEGY, INTEGRATION, PERFORMANCE & SUPPORT SERVICES
REPORT NO: 442-2015

1.0 PURPOSE OF REPORT

The purpose of this report is to update members of the Committee on how arrangements for the integration of health and social care are progressing in Dundee.

2.0 RECOMMENDATIONS

It is recommended that members of the Committee:

- 2.1 Note that the Order to establish the Integration Joint Board came into force on Sunday 3rd October 2015.
- 2.2 Note that the Integration Joint Board must be fully operational by the due date of the 1st April 2016.
- 2.3 Note that on adopting its strategic plan the Integration Joint Board assumes responsibility for all the functions delegated in paragraph 4.3.1 to 4.3.2 of this report.
- 2.4 Note that the Chief Officer and Chief Finance Officer have been appointed.
- 2.5 Note how the operational framework for the Integration Joint Board is being developed as outlined in paragraphs 4.6.1 to 4.6.9 of this report.
- 2.6 Agree that the Chief Executive in co-operation with the Chief Officer of the Integration Joint Board should instigate arrangements to progress the implementation of the cohorting and matching arrangements for the Head's of Service as indicated in paragraph 4.6.9 of this report.
- 2.7 Approve that the Chief Officer of the Integration Joint Board bring the Integration Joint Board Annual Performance report along with the Strategic and Commissioning Plan and all required and additional periodic reviews of the Strategic and Commissioning Plan to the Council.

3.0 FINANCIAL IMPLICATIONS

The integration arrangements will result in financial resources associated with delegated functions being transferred to the Integration Board from Dundee City Council and NHS Tayside from 1st April 2016. In addition, NHS Tayside is required to set aside amounts in respect of large hospital functions for use by the Integration Joint Board. The Integration Joint Board will subsequently give direction and allocate resources back to the Health Board and Local Authority for the delivery of services in line with the Strategic Plan.

The financial resources to be delegated to the IJB from Dundee City Council will mainly consist of the current Community Care Budget within the Social Work Revenue Budget and a significant element of the Supporting People Budget. Work is ongoing to specify the exact resource however the current estimate of budgeted resources to be transferred is £78m. This will be subject to savings considerations for 2016/17 as set out within the Council's Changing for the Future 4 programme.

4.0 MAIN TEXT

4.1 Background

- 4.1.1 The Public Bodies (Joint Working) Scotland Act 2014 was passed by the Scottish Parliament on the 25th February 2014 and received Royal Assent on 1st April 2014. The legislation established the legal framework for integrating health and social care in Scotland. The stated government objective for integration is *'to create a single system for local joint commissioning of health and social care services which is built around the needs of patients and service users and which supports whole system re-design in favour of prevention and anticipatory care in communities'*.
- 4.1.2 The Local Authority and Health Board are required by the legislation to have an Integration Scheme that explains how integration will be achieved and which establishes and describes the governance arrangements for the partnership. This includes agreement about the model of integration and the accompanying service arrangements.
- 4.1.3 The legislation also requires each integration Authority to establish a Strategic Planning Group for the purpose of preparing a Strategic Plan. All the functions that are delegated to the integration authority must fall within the scope of the Strategic Plan. The Strategic Plan should focus on delivering improved outcomes for service users and carers against agreed national and local outcomes. The Strategic Plan must set the date on which functions are to be transferred. Integration Authorities are required to be up and running by 1st April 2016.
- 4.1.4 Members of the Committee were advised in Report No 416-2014 (Article VII of the minute of the meeting of Policy and Resources Committee held on 27th October 2014 refers) of how integration arrangements would be progressed towards the establishment of the formal Integration Authority for Dundee and in report 121-2015 (Article XIII of the minute of the meeting of Policy and Resources Committee held on 9th March 2015 refers) approval of a Dundee Draft Integration Scheme for submission to the Scottish Government was sought. Information follows below about how integration arrangements have progressed to date and how they will continue to be progressed to ensure duties and responsibilities are met within the required timescales.

4.2 Establishment Arrangements for the Integration Authority

- 4.2.1 The Dundee Draft Health and Social Care Integration Scheme (the Integration Scheme) was submitted to Scottish Ministers. The Order to establish the Integration Joint Board was laid before the Scottish Parliament on Friday 4th September 2015 and came into force on Sunday 3rd October 2015. The coming into force of the Order legally established the Dundee Health and Social Care Integration Board with formal duties and responsibilities. Report No 121-2015 referred to above gave the Chief Executive authority to agree and advise Committee of any further changes to the Integration Scheme following consideration of the draft by NHS Tayside and the Scottish Government
- 4.2.2 Some amendments were made which fell within the delegated authority of the Chief Executive. These included: revisions to wording and definitions to ensure compliance with the Act; the inclusion of further detail about the role of the Chief Officer, the consultation process and information handling to ensure clarity; and the addition of further information about the operational governance role of the Integration Joint Board and the hosting arrangements.
- 4.2.3 The integration arrangement and model that the Integration Scheme puts in place is that which delegates functions from NHS Tayside and the Council to a body corporate, namely Dundee Integration Joint Board (IJB).
- 4.2.4 In accordance with the terms of the Integration Scheme the first Chair of the Board on establishment is Doug Cross from NHS Tayside and the Vice Chair is Councillor Ken Lynn. The first Chair and Vice Chair hold office for a period of 12 months. At the end of this period the chair will come from the Council and the vice-chair will come from NHS Tayside. Their appointments will last for 1 year.

4.2.5 The other aspects of the governance arrangements outlined in the Integration Scheme are being taken forward by the Chair and Vice Chair of the Integration Joint Board. A due diligence programme for the IJB is in process. Standing Orders have been developed for the IJB and adopted; a Communication and Engagement Strategy is being consulted upon, a Clinical Care and Professional Governance Framework has been established; an Organisational Development and Workforce Strategy is under development and a process for complaints handling is being developed. In addition, arrangements are being put in place for necessary information sharing and data sharing requirements, claims handling and risk management

4.3 **The Functions Delegated to the Integration Joint Board**

4.3.1 The functions that are to be delegated to the IJB for Dundee are prescribed in the Act and outlined in the Integration Scheme. The overall objective of the integration arrangements is to deliver better outcomes for service users and carers by better aligning investment and resources towards what evidence tells us about local needs, local services and supports and what works best. The functions that are delegated therefore include all adult services currently provided or commissioned by the Social Work Department; community health services for adults; unscheduled hospital care and those health services that the Dundee Partnership will host on behalf of the other negotiating partnerships of Angus and Perth and Kinross (a description of the hosted services is included as Appendix 1 to this report).

4.3.2 The services associated with the delegated functions include those provided directly by the Council and NHS Tayside and also those commissioned by the Council from external providers. As such they consist of staffing and other resources and assets necessary for the fulfilment of the smooth running of the operation.

4.4 **The Development of the Strategic Commissioning Plan**

4.4.1 As indicated above the Act places a number of duties on integration authorities in relation to strategic commissioning. It is for the IJB to include and adopt what it sees fit in its strategic commissioning plan but it must: set out the arrangement for carrying out the integration functions in the local authority area and set out locality arrangements; and set out the way in which the arrangements for carrying out the functions are intended to achieve or contribute towards achieving national health and well being outcomes.

4.4.2 It is through the delegated function that the IJB operates and it is only in adopting its strategic plan for the discharge of these functions that it becomes fully operational. Since it must be fully operational by the due date of 1st April 2016 the IJB must adopt its plan by that date.

4.4.3 Partnerships are required to set up a Strategic Planning Group for the purpose of preparing, monitoring and reviewing their strategic Plan.

4.4.4 A Strategic Planning Group has been set up which will report to the Dundee IJB. The strategic planning group for Dundee is described as the Dundee Integrated Strategic Planning Group (the Strategic Planning Group) and the plan that is under development as the Dundee Integrated Strategic and Commissioning Plan (the Strategic Plan).

4.4.5 The work of the strategic planning group to date has included the preparation of high level needs, the early expression of locality needs assessment for locality planning, the development of a draft vision and set of strategic priorities to inform the plan, the accompanying financial planning framework and the development of the consultation and engagement framework. The Strategic Planning Group has an agreed timeline for the preparation of the Strategic Plan following a facilitated development event involving over 100 participants with representative interest in the care and support and health needs of the population of Dundee. A document describing the vision; priorities; the national outcomes and a set of feedback questions has been issued for consultation. This is a first stage and will be followed by further consultation on a full plan in January and February 2016. The plan drafts will be subject to consultation with Elected Members of the Council.

4.5 **Staffing and Organisational Development Arrangements**

- 4.5.1 As indicated in paragraph 4.2.5 above in the process of establishing the arrangements for the IJB an Organisational Development and Workforce Strategy is under development. This is in place to support the planned and systematic change that will be required to support the delivery of effective, efficient and economic health and social care in Dundee through a process of continuous improvement. The focus will be not only on what is provided through the service delivery model but also on how the services are provided. The strands of organisational development work that are in progress include: vision and strategic direction; governance, with a particular focus on Clinical Care and Professional Governance; leadership; performance and self evaluation; capacity and capability for change; customer focus; culture and behavioural change and partnership work.
- 4.5.2 Employees of the Council, NHS Tayside and other organisations that work in the services affected remain employees for their current employer. They are critical and central to the process of change. Their co-operation and participation is therefore essential to the integration process so considerable effort has been extended by employer organisations including the Council to communicate with those affected about the process of change that is underway.
- 4.5.3 In addition, human resource services from NHS Tayside and the Council are working with the Trades Unions and staff side representatives to ensure necessary personnel and workforce development arrangements are aligned for the purposes of the establishment of the IJB and its continuing operation and future workforce planning. There are approximately 800 full time equivalents who are employees of the Council who are directly affected by the establishment of the integration arrangements.
- 4.5.4 The Act also requires the Council and NHS Tayside to agree the necessary support functions that will be in place to secure the smooth running of the operational functions of the IJB. A process to identify the staff and resources has been put in place.
- 4.5.5 There are two statutory appointments that the IJB were required to make those of a Chief Officer and a Chief Finance Officer for the IJB. Both of these appointments have been made and ratified by the IJB. The Chief Officer is David Lynch and the Chief Finance Officer is Dave Berry.

4.6 **Development of the Operational Framework for the Integration Joint Board**

- 4.6.1 The Chief Officer is the accountable officer for the operation of the functions delegated to the IJB and the post incorporated into the Senior Management Structure of the Council as well as that of NHS Tayside. The achievement of integration is predicated on the assumption that staff and other resources will be brought together to provide a unified approach and structure for the delivery of health and social care supports for the population of Dundee.
- 4.6.2 The Chief Finance Officer of the IJB will be accountable to the IJB for the proper administration of its financial affairs including the preparation of the Annual Accounts and Financial Plan and will provide financial advice and support to the Chief Officer and the IJB on the financial resources used for operational delivery.
- 4.6.3 As indicated above, it is a requirement of the Act that the IJB once established will be fully operational by the 'due date' of the 1st April 2016. In preparation for this the Chief Executive and other officers of the Council have instigated the necessary preparatory arrangements for the process of change including the identification of the council employees affected, the resources and assets to be delegated, the systematic implications and the governance implications.
- 4.6.4 The Chief Officer of the IJB has developed a high level organisational framework for the IJB described in the organisational chart as attached as Appendix 2 to this report.
- 4.6.5 The framework shows the reporting and accountability arrangements centred around the Integration Joint Board with the Chief Officer accountable for all operations, finance,

strategic planning and commissioning including health improvement and demonstrating the professional governance links and responsibilities of the Chief Social Work Officer and the Clinical Director.

- 4.6.6 The Head of Service senior officer responsibilities are designed to be integrating from the point of view of service users in relation to decision making around the delivery of operational services; financial planning and management and planning commissioning and scrutiny arrangements. There are therefore only three Heads of Service one responsible for all Social Care and Health operation, the Chief Finance Officer and the Head of Service Strategic Planning and Commissioning and Health Improvement. This is to be consistent with arrangements that will be followed as the rest of the organisation is developed and brought forward. As the arrangements develop a range of operational functions will fall under the responsibility of the Head of Service, Health and Community Care. It is anticipated that as the arrangements mature these responsibilities will align with the locality planning arrangements proposed within the Strategic Plan.
- 4.6.7 As the arrangements develop the functions that will be discharged through the Chief Finance Officer and the Head of Service, Strategic Planning and Commissioning will be developed. In these areas, as well as working into the IJB organisation and delivery, the body corporate model requires to operate and co-ordinate across the policies and procedures of both NHS Tayside and Dundee City Council and to facilitate the operation of service delivery against the outcomes and priorities set for the Strategic Commissioning Plan for the IJB.
- 4.6.8 There is a Clinical Care and Professional Governance Framework that sits behind the structure. This supports the development maintenance and monitoring of national and local standards of care and clinical practice that are essential to the achievement of good outcomes for patients, service users and carers and the health and well being of the population. It is described fully in the Integration Scheme.
- 4.6.9 It is now proposed that the Chief Executive and Chief Officer put in place arrangements to fill the Head of Service positions in line with Council and NHS Tayside policies and procedures for organisational change. The Chief Officer will develop an organisational framework for the integration of all the delegated functions, also in line with Council and NHS Tayside policy and procedures for organisational change. This will include cohorting and matching all staff that operate within the delegated functions.

4.7 Performance Arrangements

- 4.7.1 The Act builds requirements for the monitoring of performance into the establishment arrangement of the IJB through the terms of the Integration Scheme and also through the strategic planning provisions.
- 4.7.2 The chart below shows the reporting responsibilities that are triggered through the formal adoption of the Integration Scheme.

Description	Timescale
Definition of Terms for Arrangements for Support	Within three months of establishment of IJB
Workforce & Organisational Development Strategy	Within three months of establishment of IJB
Performance Framework	Within three months of establishment of IJB
Information Sharing Accord	Within three months of establishment of IJB
Risk Management Strategy	By 1 November 2015
Engagement Strategy Amendment	Within six months of establishment
Budget Requisitions	Annual
Actual Budget Requisitions	Day after Council Tax set
Regular finance reports	Monthly
Annual Capital Budget Requests	From financial year 2017/2018
Complaints Performance Report	Annual

- 4.7.3 In its establishment the IJB has to go through a due diligence process to satisfy itself that it can discharge the national health and well being outcomes within the delegated framework. In addition the IJB must publish an annual financial plan upon the publication of its first strategic commissioning plan and every year after that.
- 4.7.4 As indicated in paragraph 4.6.8 above the Integration Joint Board has a supporting Clinical and Care Governance Framework.
- 4.7.5 The remit of the Social Care and Social Work Improvement Scotland and Health Improvement Scotland (HIS) has been extended to include the inspection of the services that Health Boards and Local Authorities delegate as set out in their integration schemes to Integration Authorities.
- 4.7.6 In addition to these proposals members of the Committee are asked to note that it is proposed that the Chief Officer bring the annual performance report to the Council for consideration along with all required and additional periodic reviews of the Strategic and Commissioning Plan.

5.0 POLICY IMPLICATIONS

- 5.1 This Report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management. There are no major issues.

6.0 CONSULTATIONS

The Chief Executive, Executive Director of Corporate Services and Head of Democratic and Legal Services were consulted in the preparation of this report.

7.0 BACKGROUND PAPERS

- 7.1 Dundee Integration Scheme
- 7.2 Consultation on Draft Health and Social Care Vision and Priorities

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DATE: 19th November
2015

TAYSIDE INTEGRATION JOINT BOARDS' HOSTED SERVICES

The following services, which are currently planned and delivered on a pan Tayside basis, will also be delegated and hosted by **Dundee City Integration Joint Board** on behalf of the other Tayside Integration Joint Boards;

- Psychology services
- Sexual and Reproductive Health services (**in Dundee this will include children and young people**)
- Homeopathy service
- Specialist Palliative Care
- The Centre for Brain Injury Rehabilitation (CBIRU)
- Eating disorders
- Dietetics
- Medical Advisory Service
- Tayside Health Arts Trust
- Keep Well
- Psychotherapy

The following services, which are currently planned and delivered on a pan Tayside basis, will also be delegated and hosted by **Angus Integration Joint Board** on behalf of the other Tayside Integration Joint Boards;

- Pharmacy
- Primary Care Services (excludes the NHS Board administrative, contracting and professional advisory functions)
- GP Out of Hours
- Forensic Medicine
- Continence service
- Speech and Language Therapy

The following services, which are currently planned and delivered on a pan Tayside basis, will also be delegated and hosted by **Perth and Kinross Integration Joint Board** on behalf of the other Tayside Integration Joint Boards:

- Learning Disability inpatient services
 - Substance misuse inpatient services (Rannoch)
 - Public Dental Services/Community Dental Services
 - General Adult Psychiatry (GAP) Inpatient services
 - Prisoner Healthcare
 - Podiatry

