



REPORT TO: HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD –
23 APRIL 2019

REPORT ON: HEALTH AND SOCIAL CARE INTEGRATION - PRINCIPLES OF
GOVERNANCE

REPORT BY: CHIEF FINANCE OFFICER

REPORT NO: DIJB17-2019

1.0 PURPOSE OF REPORT

The purpose of this report is to advise the IJB of work being undertaken to strengthen the governance arrangements around health and social care integration within Tayside through the development of a range of governance principles and to request that Dundee City Council and NHS Tayside work collaboratively to develop these principles as they would apply to Dundee Integration Joint Board.

2.0 RECOMMENDATIONS

It is recommended that the Integration Joint Board (IJB):

- 2.1 Notes that work has been undertaken to develop a range of governance principles to strengthen the governance arrangements associated with health and social care integration across Tayside
- 2.2 Requests through the Chief Officer that Dundee City Council and NHS Tayside work collaboratively to develop a set of governance principles as they would apply to the integration of health and social care through Dundee Integration Joint Board.

3.0 FINANCIAL IMPLICATIONS

There are no direct financial implications arising as a result of this report.

4.0 MAIN TEXT

- 4.1 The governance arrangements to support Health and Social Care Integration are complex and therefore there needs to be a clear framework for each of the partnership bodies to work within. Following the establishment of Integration Joint Boards, local authorities Standing Orders and Schemes of Regulation were amended to reflect the change in responsibilities through delegated services to the IJB's. For NHS Tayside, the delegation of services to IJB's on a pan Tayside basis, including the impact of hosted services, has required further dialogue and agreement between the relevant parties in relation to the appropriate governance structures to be put in place, recognising that different IJB models are in place across Tayside.
- 4.2 In recognition of these challenges and in order to provide a strong governance framework going forward, the Chief Internal Auditor of NHS Tayside and officers from the three Tayside IJB's have lead on developing a framework of a range of governance principles to further support the interface between the IJB's, local councils and NHS Tayside. Once applied, these will further strengthen the assurance that can be given to all parties that governance arrangements are sufficient.

4.3 The governance principles framework will cover the following areas and will provide better clarity around roles and responsibilities and the governance arrangements which should be in place within each of the parties governance structures as they relate to the IJB:

- Code of Corporate Governance
- Strategy
- Risk Management
- Performance Reporting
- Care Governance
- Staff Governance
- Financial Governance
- Information Governance

4.4 In order to ensure the governance principles to be applied reflect the Dundee health and social care environment, it is recommended that Dundee City Council and NHS Tayside work together and agree on these principles as they apply to their relationship with Dundee Integration Joint Board. A further paper will be presented to the IJB in due course to confirm these principles once agreed.

5.0 POLICY IMPLICATIONS

None.

6.0 RISK ASSESSMENT

Risk 1 Description	Failure to have adequate governance principles to work within will undermine the IJB's governance arrangements
Risk Category	Governance risk
Inherent Risk Level	Likelihood 3 x Impact 4 = Risk Scoring 12 (which is a High Risk Level)
Mitigating Actions (including timescales and resources)	Regular review of the effectiveness of the application of the governance principles will be undertaken through the annual governance self – assessment, annual internal audit review and external audit plan
Residual Risk Level	Likelihood 2 x Impact 3 = Risk Scoring 6 (which is a Moderate Risk Level)
Planned Risk Level	Likelihood 1 x Impact 2 = Risk Scoring 2 (which is a Low Risk Level)
Assessment of Risk Level	The level of residual risk following the application of the governance principles is low therefore there are no risk concerns arising.

7.0 CONSULTATIONS

The Chief Officer and the Clerk were consulted in the preparation of this report.

8.0 DIRECTIONS

The Integration Joint Board requires a mechanism to action its strategic commissioning plans and this is provided for in sections 26 to 28 of the Public Bodies (Joint Working)(Scotland) Act 2014. This mechanism takes the form of binding directions from the Integration Joint Board to one or both of Dundee City Council and NHS Tayside.

Direction Required to Dundee City Council, NHS Tayside or Both	Direction to:	
	1. No Direction Required	X
	2. Dundee City Council	
	3. NHS Tayside	
	4. Dundee City Council and NHS Tayside	

9.0 BACKGROUND PAPERS

None.

DAVE BERRY
CHIEF FINANCE OFFICER

DATE: 28 March 2019

SHEILA WEIR
SECTION LEADER

