

REPORT

Annual Assurance Statement

Edinburgh Integration Joint Board

26 October 2021

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| Executive Summary | This report provides the Edinburgh Integration Joint Board (EIJB) with an update on the committee annual assurance process. |
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| Recommendations | <p>The Integration Joint Board is asked to:</p> <ul style="list-style-type: none"> a) note the moderate assurance offered by the Audit and Assurance Committee following their review of the committee assurance statements attached at appendices 1 to 5; and b) consider the issues raised by the committees as summarised in paragraph 6. |
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Directions

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| Direction to City of Edinburgh Council, NHS Lothian or both organisations | No direction required | ✓ |
| | Issue a direction to City of Edinburgh Council | |
| | Issue a direction to NHS Lothian | |
| | Issue a direction to City of Edinburgh Council & NHS Lothian | |

Report Circulation

- The committee assurance statements have been presented to the Audit and Assurance Committee (AAC) for scrutiny on 20 August 2021 (Clinical and Care Governance Committee, Futures Committee, Performance and Delivery Committee and Strategic Planning Group) and 1 October 2021 (Audit and Assurance Committee).

Main Report

2. The Edinburgh Integration Joint Board (EIJB) agreed a new annual assurance process at their meeting in December 2020. All EIJB committees were asked to submit an annual assurance statement which covers the business of all meetings held during 2020/21. The link to the full paper is **here** .
3. Assurance statements should be designed to support the assurance the committees are giving to the EIJB and identify any significant issues.
4. Once committees (including Audit and Assurance Committee) agreed their committee annual statements they were scrutinised at AAC on the 20 August 2021. The submission by AAC was considered and agreed on the 01 October 2021 and this reflected the issues raised by the other four committees. The purpose of the review by AAC is to provide the EIJB with assurance (or otherwise) on the effectiveness of the EIJB committee structure and how well the committees are fulfilling their duties.
5. In this inaugural year, each committee took a different approach to agreeing its assurance statement. It is recognised that this was partly due to a lack of guidance and this will be addressed for future years with guidance being issued to ensure a consistent approach is adopted next year. As well as this, the AAC has commissioned a review of best practice and this is being undertaken by the Operations Manager and may impact the approach and format for future years.
6. For 20/21, the main theme coming through all the assurance statements related to resourcing, specifically:
 - capacity of officers adversely impacting the ability to fulfil the full range of duties specified within committee terms of reference;
 - the lack of an independent Chief Risk Officer; and
 - availability and quality of data.
7. Based on the assurance statements submitted from the committees, the AAC are able to provide a moderate level of assurance.
8. Where improvements or actions have been identified within the annual assurance statements, they will be collated together into a composite action plan, with proposed improvement actions developed (where possible) as part of the development of the EIJB committee structure.

Implications for Edinburgh Integration Joint Board

Financial

9. There are no specific financial implications arising from this report.

Legal/risk implications

10. The process agreed by the EIJB is designed to provide appropriate assurance to the board, thus reducing risk.

Equality and integrated impact assessment

11. There are no specific implications arising from this report.

Environment and sustainability impacts

12. There are no specific implications arising from this report.

Quality of care

13. There are no specific implications arising from this report.

Consultation

14. There are no specific implications arising from this report.

Report Author

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Chair of EIJB Audit and Assurance Committee

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Appendices

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| Appendix 1 | Annual Assurance Statement 2020/21 - Audit and Assurance Committee |
| Appendix 2 | Annual Assurance Statement 2020/21 - Clinical and Care Governance Committee |
| Appendix 3 | Annual Assurance Statement 2020/21 – Futures Committee |
| Appendix 4 | Annual Assurance Statement 2020/21 - Performance and Delivery Committee |
| Appendix 5 | Annual Assurance Statement 2020/21 - Strategic Planning Group |

Appendix 1 – Audit & Assurance Committee Annual Assurance Statement

COMMITTEE ANNUAL REPORT – 2020/21

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| NAME OF COMMITTEE: | Audit and Assurance Committee |
| NAME OF COMMITTEE MEMBER: | Phil Daggart (Chair) |
| DATE OF RESPONSE: | 14 September 2021 |

| | | Evidence to support statement |
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| Committee objectives | <p>The purpose and function of the Committee is to:</p> <ul style="list-style-type: none"> a) provide assurance to the Integration Joint Board that it is fulfilling all its statutory requirements and all systems are performing as required, with appropriate and consistent escalation of notice and action. b) review and continually re-assess their system of governance, risk management, and control, to ensure that it remains effective and fit for purpose. c) approve and oversee the annual audit programme in respect of the Integration Joint Board’s services. d) develop Integration public reporting of the Integration Joint Board as an independent, objective process; and e) ensure that its arrangements for delegation within the Integration Joint Board structures promote independent judgement and assist with the balance of power and the effective discharge of duties | <p>Terms of reference (agreed at IJB on 21 July 2020)</p> |

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| <p>Work undertaken this year</p> | <p>General</p> <ol style="list-style-type: none"> 1. Rollout of the Board Assurance Framework to support the integrity of the annual accounts - December 2020 2. Continuing development of the IJB risk register and its governance arrangements – quarterly 3. Declaration of Members Interest covered at every meeting 4. Approval of the Records Management Plan – November 2020 <p>Internal Audit</p> <ol style="list-style-type: none"> 5. Scrutiny of Internal Audit update reports including outstanding management actions 6. Approved the Internal Audit Charter 20/21 7. Scrutiny of Outstanding Internal Audit Actions <p>External Audit</p> <ol style="list-style-type: none"> 8. Endorse the External Audit Report 2019/20 9. Endorse the External Audit Plan 2020/21 | <p>Item 3 - At each committee meeting: 28/07/20; 15/09/20;06/11/20; and 29/01/21</p> <ul style="list-style-type: none"> • Committee agendas |
| <p>Outputs</p> | <ol style="list-style-type: none"> 1. Financial Reporting Through scrutinising of the unaudited and final annual accounts 19/20, development of the annual assurance framework, External and Internal Audit annual reports, and Internal Audit update, the Audit and Assurance Committee can demonstrate they have covered the following activities as referenced in their Terms of Reference in the 2020/21 period: <ul style="list-style-type: none"> • 1a - ensure financial reporting systems are subject to review | <p>Agreed at meeting 28/07/20</p> <ul style="list-style-type: none"> • Unaudited Accounts <p>Considered at meeting 15/09/20</p> <ul style="list-style-type: none"> • Audited Accounts 19/20 |

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| | <ul style="list-style-type: none"> • 1b - ensure the integrity of the annual report and financial statements before submission to the IJB. • 1c - Review summary financial statements, significant financial returns to regulators and any financial information contained in other official documents. • 1d - review the consistency of, and changes to, accounting policies across the Integration Joint Board and its subsidiary undertakings. • 1e - review the methods used to account for significant or unusual transactions where different approaches are possible • 1f - review whether the Integration Joint Board has followed appropriate accounting standards and made appropriate estimates and judgements, • 1g - review the clarity of disclosure in the Integration Joint Board's financial reports and the context in which statements are made. | <ul style="list-style-type: none"> • External Audit Annual Report • Internal Audit Annual Opinion |
| Outputs | <p>2. Governance, risk management and internal control</p> <p>Through scrutinising of the EIJB records management plan, review of the IJB risk register on a quarterly basis, implementation of the annual board assurance framework, annual audit plans (Internal and External Audit), the IJB complaints handling procedure (agreed at EIJB), regular review of declaration of interest, regular internal audit key findings (including overdue management actions) report, the Audit and Assurance Committee can demonstrate they have covered the following activities as referenced in their Terms of Reference:</p> <ul style="list-style-type: none"> • 2a - the establishment and maintenance of an effective system of Integration governance, risk management and internal control, across the | <p>At each committee meeting: 28/07/20; 15/09/20; 06/11/20; and 29/01/21</p> <p>Internal Audit Update Report</p> <p>Approved at meeting of 06/11/20 with verbal updates at other meetings (28/07/20; 15/09/20; and 29/01/21)</p> |

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| | <p>whole of the Integration Joint Board’s activities (both clinical and non-clinical), that supports the achievement of the organisation’s objectives.</p> <ul style="list-style-type: none"> • 2b - the risk environment of the Integration Joint Board • 2c -the adequacy of risk and control related disclosure statements • 2d - the Board Assurance Framework and processes • 2e - the policies for ensuring compliance with relevant regulatory, legal and code of conduct requirements, any related reporting and self-certifications, and work related to counter fraud and security, as required by NHS Scotland Counter Fraud Services • 2f - the policies for managing and investigating complaints and legal claims against the Integration Joint Board. • g) the Register of Members’ Interests; and Register of Gifts and Hospitality on a regular basis, and not less than annually. <p>Further work required</p> <p>The Audit and Assurance as part of it is work programme for the next cycle need to develop an approach to ensure the following areas are covered:</p> <ul style="list-style-type: none"> • 2e - the policies for ensuring compliance with relevant regulatory, legal and code of conduct requirements, any related reporting and self-certifications, and work related to counter fraud and security, as required by NHS Scotland Counter Fraud Services | <p>Records Management Plan</p> <p>Considered at each committee meeting: 28/07/20; 15/09/20; 06/11/20; and 29/01/21</p> <p>IJB Risk Register</p> <p>Recommended to IJB on 06/11/20; and process agreed on 29/01/21</p> <p>Annual Board Assurance Process</p> <p>Agreed on 28/07/20 and update agreed on 15/09/20 - Internal Audit Annual Plan</p> |
| Outputs | <p>3. Internal audit and counter fraud</p> <p>Through scrutinising of the IJB risk register on a quarterly basis, implementation of the annual board assurance framework, annual audit plans (Internal Audit), regular review of registers of interest, regular internal audit key findings (including</p> | <p>At each committee meeting: 28/07/20; 15/09/20; 06/11/20; and</p> |

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| <p>overdue management actions) report, Internal Audit Charter, the Audit and Assurance Committee can demonstrate they have covered the following activities as referenced in their Terms of Reference:</p> <ul style="list-style-type: none"> • 3a - ensure that there is an effective Internal Audit function that meets the Public Sector Internal Audit Standards. • 3b - consider and approve the Internal Audit Strategy and Annual Plan. • 3c - review all reports from the Internal and External Auditors which identify “limited assurance” or “no assurance”. • 3d - review and monitor the Executive Management’s responsiveness to the findings and recommendations of audit reports. <p>Further work required</p> <p>The Audit and Assurance as part of it is work programme for the next cycle need to develop an approach to ensure the following areas are covered:</p> <ul style="list-style-type: none"> • 3e - meet the Head of Internal Audit on a formal basis, at least once a year, without Executive directors or management, to consider issues arising from the internal audit programme and its scope and impact. The Head of Internal Audit will be given the right of direct access to the Chair of the Committee, Chief Officer, Integration Joint Board and to the Committee. • 3f - assure itself that the Integration Joint Board has policies and procedures for all work related to fraud and corruption in line with requirements of NHS Scotland Counter Fraud Services. • 3g - assess the effectiveness of Counter Fraud services once every five years through a full process of review; and | <p>29/01/21 - Internal Audit Update Report</p> <p><i>Recommended to IJB on 06/11/20; and process agreed on 29/01/21</i></p> <p>Annual Board Assurance Process</p> <p><i>Considered with the annual accounts at meeting on 15/09/20</i></p> <p>Internal Audit Annual Opinion</p> <p><i>Agreed on 28/07/20 and update agreed on 15/09/20</i></p> <p>Internal Audit Annual Plan</p> <p><i>Agreed on 15/03/20</i></p> <p>Internal Audit Charter</p> |

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| | <ul style="list-style-type: none"> • 3h - monitor the implementation of the policy on standards of business conduct for directors and staff (i.e., Codes of Conduct and Accountability) to offer assurance to the Integration Joint Board on probity in the conduct of the Integration Joint Board’s business. | |
| Outputs | <p>4. External audit</p> <p>Through scrutinising of the IJB risk register on a quarterly basis, implementation of the annual board assurance framework and annual audit plans (External Audit), regular updates at Committee, the Audit and Assurance Committee can demonstrate they have covered the following activities as referenced in their Terms of Reference:</p> <ul style="list-style-type: none"> • 4c - review and monitor the External Auditors’ independence and objectivity and the effectiveness of the audit process. • 4e - establish with the External Auditors, the nature and scope of the audit, as set out in the annual plan before the audit commences; and • 4f - review all External Audit reports, <p>Further work required</p> <p>The Audit and Assurance as part of it is work programme for the next cycle need to develop an approach to ensure the following areas are covered:</p> <ul style="list-style-type: none"> • 4a - approve the External Auditor’s remuneration and terms of engagement, including fees for audit or non-audit services and the appropriateness of fees, to enable an adequate audit to be conducted | <p>Considered at each committee meeting: 28/07/20; 15/09/20; 06/11/20; and 29/01/21</p> <p>IJB Risk Register</p> <p>Recommended to IJB on 06/11/20; and process agreed on 29/01/21</p> <p>Annual Board Assurance Framework</p> <p>Meeting 29/01/21</p> <p>External Audit Annual Plan</p> |

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| | <ul style="list-style-type: none"> • 4b - agree and review the policy regarding the supply of non-audit services by the External Auditor and monitor that service, considering relevant ethical guidance. • 4d - meet the External Auditor at least once a year, without management being present; to discuss their remit and any issues arising from the audit. |
| <p>Outputs</p> | <p>5. Other board assurance functions</p> <p>Further work required</p> <p>The Audit and Assurance as part of its work programme for the next cycle need to develop an approach to ensure the following areas are covered:</p> <ul style="list-style-type: none"> • 5a - review the findings of other significant assurance functions, both internal and external, and consider the implications for the governance of the Integration Joint Board. • 5b - review the work of other Committees within the organisation and its subsidiaries, whose work can provide relevant assurance to the Audit and Assurance Committee's own scope of work • 5c - ensure there is no duplication of effort between the Committees, and that no area of assurance is missed as part of its responsibility for reviewing the Annual Governance Statement • 5d - receive details of Single Tender Waivers, as approved by the Chief Officer. • 5e - review registers relating to the Standards of Business Conduct Policy and consider any breaches and action taken. • 5f - review every decision by the Integration Joint Board to suspend their respective Standing Orders; and |

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| | <ul style="list-style-type: none"> 5g - in fulfilling its responsibilities, the Committee will primarily utilise the work of Internal Audit, External Audit, and other assurance functions, but will not be limited to these sources. It will also seek reports and assurances from directors and managers as appropriate, concentrating on the overarching systems of Integration governance, risk management and internal control, together with indicators of their effectiveness |
| <p>Is there anything which prevents the committee from being as effective as they would like to be? If so, please expand.</p> | <p>Recruitment to the Chief Risk Officer as there is a potential conflict of interest in the Chief Financial Officer currently undertaking this role.</p> |
| <p>Are there any issues of concern you would wish raised at the Board? If so, please expand.</p> | <p>As above, the lack of an independent Chief Risk Officer.</p> |

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| <p>What (if any) changes are you making based on your experience within the committee?</p> | <p>The Committee is seeking to increase the rigour and speed with which outstanding audit actions are closed off, with priority according to their risk rating.</p> <p>There are a number of synergies with the NHSL Audit committees work which may need to be referenced. There is also the assumption that some assurance for the work of the IJB is provided by committees in NHSL.</p> <p>Furthermore, does the committee need to seek assurance from any hosted services and how should this be referenced in the far-right column which for the most part is very specific to work discussed at the committee and not drawing on assurances which may be mostly provided elsewhere but are relevant to the work on EIJB.</p> |
| <p>Do you feel that there is sufficient skill either on the committee or supporting the committee?</p> | |
| <p>Are there any other issues you wish to raise?</p> | |

Appendix 2 – Clinical and Care Governance Committee

COMMITTEE ANNUAL REPORT – 2020/21

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| NAME OF COMMITTEE | Clinical and Care Governance Committee |
| NAME OF COMMITTEE MEMBER | Richard Williams (Chair) |
| DATE OF RESPONSE | June 2021 |

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| Committee objectives | To report to the Edinburgh Integrated Joint Board and to provide assurance on the quality of care to the local population, specifically in relation to safety, quality of access and clinical effectiveness and experience. |
| Work undertaken this year | 4 formal committee meetings and 1 development workshop which explored priorities for scrutiny in our workplan following the impact of covid-19 on our services |
| Outputs | <p>Mental Health Services (including Substance Misuse): Quality Assurance</p> <p>The Committee made the recommendation that the Health and Social Care Partnership join the Royal College of Psychiatrists Accreditation Scheme commencing with community mental health teams</p> <p>Definitions of five levels of assurance were adopted by the Committee and recommended to the other Governance committees</p> |

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| <p>Outputs</p> | <p>Commissioned a workstream to develop a Partnership framework for whistleblowing taking account of partner organisations policies and processes.</p> <p>Gave assurance that Primary Health Care Teams had a variety of process and structures in place to monitor, evaluate and remedy quality of care</p> <p>Gave limited assurance that Council owned Care Homes for the Elderly had robust governance processes in place, but supported the development of a new structure being developed by the Lead Nurse</p> |
| <p>Is there anything which prevents the committee from being as effective as they would like to be? If so, please expand.</p> | <p>Some committee members expressed a lack of clarity over development opportunities available to them to support them in undertaking their role.</p> <p>There is a concern that the committee does not receive adequate information in relation to national policy/direction/technical developments to enable it to fulfil its role and responsibilities.</p> |
| <p>Are there any issues of concern you would wish raised at the Board? If so, please expand.</p> | <p>Difficulties ensuring adequate attendance for proper scrutiny. The committee has however always been quorate.</p> |
| <p>What (if any) changes are you making based on your experience within the committee?</p> | <p>We will seek clarity from the Executive Team on development and training opportunities for committee members.</p> <p>To ensure executive Lead(s) update the committee on national policy/direction/technical developments</p> |
| <p>Do you feel that there is sufficient skill either on the committee or supporting the committee?</p> | <p>Yes, particularly with the appointment of a dedicated committee secretariat.</p> |



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| <p>Are there any other issues you wish to raise?</p> | <p>There have been occasions when there have been challenges receiving agenda items in a timely manner. This requires "goodwill" from authors of papers or presenters to provide the information requested by the committee, as they are not employees of the Health and Social Care Partnership. Efforts have been made to ensure that the committee does focus on issues specific to Integration, thus reducing duplication of effort for those submitting to the committee.</p> | |
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Appendix 3 – Futures Annual Assurance Statement

COMMITTEE ANNUAL REPORT – 2020/21

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| NAME OF COMMITTEE: | Futures Committee |
| NAME OF COMMITTEE MEMBER: | Peter Murray Chair of Futures Committee Angus McCann, Interim Chair of Futures Committee and Chair of EIJB. Tony Duncan, Head of Strategic Planning |
| DATE OF RESPONSE: | June 2021 |

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| Committee objectives | <p>The objectives of the Futures committee are to:</p> <ul style="list-style-type: none"> • Provide strategic focus and stimulus on long-term issues relevant to the vision and purpose of the Integration Joint Board. • Evaluate assurance to the Integration Joint Board about strategic approach to capacity building, community development, consultation, and engagement. • Provide protected time and space for consideration of the core narratives for change and transformation on behalf of the Integration Joint Board. <p>With a specific focus on:</p> <ul style="list-style-type: none"> • Community innovation. • Environmental protection. • Data and technological innovation |
| Work undertaken this year | <p>The following were the Futures items of business for the period March 2020 – March 2021:</p> <p>09 September 2020</p> |

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| | <p>Review of Strategic Framework in light of lessons learned from Covid-19 A report was provided by the Head of Strategic Planning on the lessons learned exercise conducted in response to the Covid-19 pandemic. The committee noted the high-level findings, themes, and the alignment to the transformation programme. The committee noted the need to consider the needs of unpaid carers and those with disabilities as part of planning and shaping future service delivery. the committee also recognised the challenge of health inequality which existed prior to Covid. The committee requested the Head of Strategic Planning to issue a note on the Strategic ENDS to members out of committee and to invite feedback and to be presented back to the Futures committee on 02 December 2020. Actioned.</p> <p>IJB Chairs and Vice-Chairs questionnaire The Chair requested that documentation received on the “Innovation Steering Group for NHS Scotland and Social Care” was circulated around the group. The request was for the EIJB to input into the questionnaire which was circulated around all IJB’s in Scotland which would inform the production of an innovation strategy for NHS Scotland / Social Care. The committee agreed that the Chair of the IJB and Chief Officer would agree a mechanism to submit a response to this request. The committee also agreed to share the Feely Review report when published in January 2021. Actioned.</p> <p>Environmental Considerations Cllr Melanie Main provided a verbal update to the committee on sustainability under environmental considerations following a publication on a report by the Intergovernmental Panel on Climate Change. The committee noted it was incumbent upon the Futures committee to progress environmental outcomes and to retain this as an agenda item for subsequent Futures committees. The committee also noted that a short report was to be provided to the EIJB on Environmental Considerations and Cllr Melanie Main agreed to review the paper during the drafting process. the committee agreed to ascertain the current status of environmental health and social care baseline work being conducted by CEC and NHSL. The committee also proposed that a Climate Change Charter be designed to clarify the IJB position on Climate Change. Actioned.</p> |
| <p>Work undertaken this year</p> | <p>02 December 2020 Better Supporting Elderly Citizens to Live Well at Home The committee was presented with a presentation by colleagues from SICCAR an Edinburgh-based tech company who had developed a ‘digital trust network’ that proposed to have a range of benefits for the health</p> |

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| | <p>and social care sector. The presentation was noted, and it was agreed that colleagues in SICCAR were to organise a meeting with the Poverty Commission and EVOC to gain an input on the proposed network from their perspective.</p> <p>High Level Strategy Update A presentation was provided by the Head of Strategic Planning on the design of a higher-level strategic directive which would inform future 3-year strategic plans. The committee requested a definition of the Edinburgh Pact be circulated. The committee also agreed the horizon timeframes of 0-6 years (Horizon 1), 6-18 years (Horizon 2), and 18+ years (Horizon 3). The committee noted the invitation for members to contact the Head of Strategic Planning with feedback on the proposed high- level strategy. Actioned.</p> <p>Climate Change Charter A report was provided by the Strategic Planning and Quality Manager for Older People on the Climate Change Charter. The committee were requested to support the approach and agree the production timeline. The committee noted the report and a further meeting with the authors and Cllr Melanie Main was to be arranged to review and develop the Climate Charter. Actioned.</p> <p>Climate Change Charter A report was provided by the Strategic Planning and Quality Manager for Older People on the Climate Change Charter. The committee were requested to support the approach and agree the production timeline. The committee noted the report and a further meeting with the authors and Cllr Melanie Main was to be arranged to review and develop the Climate Charter. Actioned.</p> <p>Joint Strategic Needs Analysis This report was withdrawn.</p> |
| <p>Work undertaken this year</p> | <p>10 February 2021 Strategy Progress Update A presentation was provided to the committee by the Head of Strategic Planning with an update on the timeline for the EIJB Strategic Plan 2022-2025. The presentation also contained updated information on the high-level design, principles, and considerations of the Programme, as well as the potential next steps and outcomes of the Plan. The committee noted the presentation. Actioned.</p> <p>Climate Change Charter</p> |

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| | <p>A draft Climate Change Charter was provided by the Strategic Planning and Quality Manager for Older People. The committee considered the charter, made amendments, and requested the new draft be circulated around the committee prior to submission to the EIJB. Actioned.</p> <p>Edinburgh PACT As per the action from the 02 December 2020 Futures committee the Strategic Programme Manager for Mental Health and Wellbeing drafted an Edinburgh Pact definition for consideration by the committee. The committee noted and supported the principles, aspiration, and translation to action the Edinburgh Pact. Actioned.</p> <p>Building Relationships and Maximising Opportunities A presentation was provided by the Strategic Programme Manager for Mental Health and Wellbeing on the benefits of using academia research to build relationships and maximise opportunities for the EIJB. The committee noted the presentation. Afternote: This engagement is still developing with the aspiration to build relationships with academic institutions which would be seen as mutually beneficial.</p> |
| Outputs | <p>As listed above. Key outputs:</p> <ul style="list-style-type: none"> • Produced and referred a Climate Change Charter to the EIJB. • Produced an Edinburgh PACT definition which has been incorporated into the project. • Provided input into the “Innovation Steering Group for NHS Scotland and Social Care” <p>Provided input and guidance to the Higher-Level Strategic Directive.</p> |
| Is there anything which prevents the committee from being as effective as they would like to be? If so, please expand. | <p>There is a lack of resource available to assist with the demand and aspirations of the Futures committee. Until such time that this issue is resolved, the Futures Committee will consider reducing the number of times it sits within the year.</p> <p>The resource issue is recognised by EHSCP. It is anticipated that an organisational review of the strategic planning area will find a work able resolution. Head of Strategic Planning has shared initial plans with the Committee.</p> |

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| <p>Are there any issues of concern you would wish raised at the Board? If so, please expand.</p> | | | | | |
| <p>What (if any) changes are you making based on your experience within the committee?</p> | <p>The futures committee purpose is to consider longer term strategic considerations for the EIJB. The frequency may be too much with too little time set aside for 'blue sky' thinking. Options are being considered, such as twice a year but for longer to facilitate more detailed discussions which would include experts and stakeholders.</p> <p>Peter Murray the current Chair of the Futures committee is standing down due to other commitments so Angus McCann the Chair of the IJB has taken on the role on an interim basis, appointment to the Chair of the Futures longer term will need to be considered under the review of terms of reference.</p> | | | | |
| <p>Do you feel that there is sufficient skill either on the committee or supporting the committee?</p> | <p>As noted above with the lack of resource, there is intention to have an officer dedicated to the longer- term strategic thinking for the EIJB which will assist with the demand for the Futures committee.</p> <p>Below is the current membership of the Futures committee:</p> <table border="1" data-bbox="719 1002 1662 1316"> <tr> <td data-bbox="719 1002 1003 1198"> <p>Voting</p> </td> <td data-bbox="1003 1002 1662 1198"> <ul style="list-style-type: none"> • Peter Murray • Chair of IJB (taking on interim chair) • Vice Chair of IJB • Councillor Main </td> </tr> <tr> <td data-bbox="719 1198 1003 1316"> <p>Non-Voting</p> </td> <td data-bbox="1003 1198 1662 1316"> <ul style="list-style-type: none"> • AHP Lead • Clinical Director • EVOC Chief Executive </td> </tr> </table> | <p>Voting</p> | <ul style="list-style-type: none"> • Peter Murray • Chair of IJB (taking on interim chair) • Vice Chair of IJB • Councillor Main | <p>Non-Voting</p> | <ul style="list-style-type: none"> • AHP Lead • Clinical Director • EVOC Chief Executive |
| <p>Voting</p> | <ul style="list-style-type: none"> • Peter Murray • Chair of IJB (taking on interim chair) • Vice Chair of IJB • Councillor Main | | | | |
| <p>Non-Voting</p> | <ul style="list-style-type: none"> • AHP Lead • Clinical Director • EVOC Chief Executive | | | | |

Appendix 4 – Performance and Delivery Annual Assurance Statement

COMMITTEE ANNUAL REPORT – 2020/21

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| NAME OF COMMITTEE: | EIJB Performance and Delivery Committee |
| NAME OF COMMITTEE MEMBERS: | Councillor Melanie Main (Chair) |
| DATE OF REVIEW: | 29 July 2021 |

Page 83

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| Committee objectives | <p>The purpose and function of the Committee, on behalf of the Integration Joint Board is to:</p> <ul style="list-style-type: none"> a) Oversee, a performance and progress reporting framework and supporting processes which provide assurance to the Integrated Joint Board about performance, progress, and delivery of delegated services. b) Receive and gain assurance from the performance framework and reports on services commissioned by the IJB and the financial consequences of delivering these services. c) Overview and report on the delivery of health & social care in Edinburgh. | Terms of Reference |

| Work undertaken this year | Performance | Committee agendas |
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| | <p>Performance</p> <ol style="list-style-type: none"> 1. Scrutiny of the Annual Performance Report before referring concerns to the IJB. 2. Agree to close actions when considering the Annual Review of Directions 3. Considered the Performance Report 4. Considered the EIJB Annual Performance Report 2020-21 before referring to the IJB. 5. Agreed the KPIs and timescales when reviewing the Edinburgh Joint Carers Strategy 2019-2022 Strategic Key Performance Indicators 6. Considered the Mainstreaming Equality and Equality Outcomes 7. Scrutinised the Mental Health Services – Planning and Operational Arrangements 8. Scrutinised the Transitions for Young People with a Disability from Children to Adult Services <p>Financial</p> <ol style="list-style-type: none"> 1. Scrutiny of the financial Outturn 2019/20 2. Scrutiny of finance Updates 20-21/21-22 3. Reviewed the findings of the Health and Social Care Grant Programme Evaluation 2019-20 | <p>Committee agendas</p> |

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| | <ol style="list-style-type: none"> 4. Savings and Recovering Programme 2020-21 Update 5. Reviewed the NHS Lothian Financial Overview – Acute (Delegated Services) 6. Scrutinised the Finance Update – 2020/21 Outturn 7. Adopted the Review of Reserves Policy 8. 8. Recommended the Financial Regulations to the IJB for adoption. | |
| <p>Outputs</p> | <p>Through the reporting of, and subsequent scrutiny of (which included recommending closures and changes to action ‘ratings) Performance and Delivery can subsequently show they have covered the following activities as referenced in their Terms of Reference for 2020/21:</p> <ol style="list-style-type: none"> 1. Make use of risk registers and directions register to inform work plan priorities and produce an annual work plan for the Committee. 2. Review annually the integrated data set and Directions Register. <p>Through their scrutiny of the EIJB’s Annual Performance Report and various Performance Reports through the year, the Committee were able to deliver the following as per their activities referenced in the Terms of Reference:</p> <ol style="list-style-type: none"> 1. Review Performance Reports in advance of the Board considering them in order to give assurance when required. 2. Consider performance reports which examine the relevant data, as defined by the relevant directions, and explore the level of | <p>Annual Review of Directions, Directions Tracker</p> <p>EIJB Annual Performance Report 2020-21, Performance Report</p> |

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| | <p>assurance the committee can recommend to the IJB on the delivery of each direction.</p> <p>Committee were presented with information on a range of delegated services throughout the year. Members scrutinised the reports and hence, were able to deliver the actions from their TORs as follows:</p> | |
| <p>Outputs</p> | <ol style="list-style-type: none"> 1. Consider the information on delegated functions for Edinburgh, which will be included in the Annual Report for adoption and approval by the IJB. 2. Develop and review a comprehensive performance management system (5.1.3 of the Integration Scheme) including the Performance and Delivery Framework and financial reporting in respect to delivery of the delegated functions. <p>Further Work Required</p> <p>The following delegated core duties from the Performance and Delivery Terms of Reference were not met this year, and the Committee needs to incorporate this into the Work Plan for the coming year:</p> <p>Liaise with CEC and NHSL to receive assurance that CEC and NHSL carry out their remits for assurance and scrutiny (5.1.5 of the Integration Scheme).</p> | <p>NHS Lothian Financial Overview – Acute (Delegated Services), Transitions for Young People with a Disability from Children’s to Adult Services, Mental Health Services: Planning and Operational Arrangements.</p> |
| <p>Is there anything which prevents the committee from being as effective as they would like to</p> | <p>Finance</p> <p>The disparity in basis and accounting practices NHS and CEC, makes budgeting and accounts scrutiny difficult and has resulted in lack of clarity</p> | |

be? If so, please expand.

and inconsistent useful comparative layouts. Reported explanatory detail has sometimes been weak and requires further development.

Greater involvement of the accounting staff from CEC and NHSL in explaining financial reporting and bases for financial budgeting etc. would be welcome.

Performance data

Over the last year, partly due to Covid, the committee has felt frustrated at the lack of staff resource has meant little progress has been made towards a Data framework.

The data that has been available is related to social care and MSG indicators ring-fenced staff time. Data reported to committee on areas of concern has not always been satisfactory and given a clear understanding of services and issues. This has prevented good scrutiny, in particular Mental Health services and the performance of other services delivered by the partners for the IJB. The ability to scrutinise core services might give us some significant insight on issues the affect services.

Integrated Impact Assessments are sometimes lacking, not well prepared or reported, and appear not to be being used appropriately in some cases to inform service delivery.

Support for committee

At times the relevant operational managers and staff who have key responsibility are not present for discussions. Users of services and staff delivering on the ground are not included enough in scrutiny at committee, which is a missed opportunity which would improve insight.

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| | <p>Work programme</p> <p>The work programme could be better developed so that more relevant to Board priorities. There continue to be challenges of trying to ensure there is a timeliness and coordination of the workplan integrating with other governance committees and the board</p> <p>Changes in the work programme have been disruptive to committee work</p> <p>Governance</p> <p>Dates of meetings and reporting times change constantly which make setting work schedules around the committee difficult.</p> <p>At times the papers are late in arriving, or incomplete, and the data is a little out of date.</p> <p>It is a relatively small committee, and any absence makes it difficult to ensure proper scrutiny and there may be helpful to bring more expertise and addition skills into the committee</p> | |
| <p>Are there any issues of concern you would wish raised at the Board? If so, please expand.</p> | <p>Financial information</p> <p>In the short term, clear accounting note explaining the detail and differences in accounting practices need further development.</p> <p>The committee feels strongly that the Board should set an aim of single method of accounting and integrated accounts and a timescale to achieve this.</p> | |

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| <p>What (if any) changes are you making based on your experience within the committee?</p> | <p>Finance reporting</p> <p>The Finance Officer will continue to develop clear accounting notes to management accounts, to improve Boards understanding, aid discussion and informed decisions in reporting to the board.</p> <p>Following a board decision, discussions with partners as to approach to and possibilities of integrated accounts would be taken forward as part of the work plan for this year.</p> <p>Performance Data</p> <p>The arrival of dedicated data Manager is very welcome and well-planned progress towards a data framework is underway in line with the renewed Strategic Plan. It is hoped that dedicated staff time given to committee business will help ensure appropriate useful data is available for scrutiny</p> <p>The Committee will set aside time this year to discuss and develop how it will consider quality and deep dives and build this into a fixed work plan.</p> <p>Workplan and Governance</p> <p>A clear fixed annual plan is being developed and will be signed of in October by the Committee. Dates of meetings are being checked against other committees and board diaries and the relevant operational meetings.</p> <p>A fixed work plan will mean that the relevant staff and service users to be notified and invited well in advance and any additional expertise or skills required to be identified will in advance and planned for.</p> <p>The committee has agreed to hold 2 additional meetings, so that financial and performance data can each be scrutinised quarterly this year.</p> | |
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| | <p>Audit staff have suggested that the committee may wish to record their meetings for private use – allowing for reference to discussions and decisions taken.</p> <p>The committee welcomes the Board review of the new governance arrangements which should include a review of the impact of the work of the committee.</p> | |
| <p>Do you feel that there is sufficient skill either on the committee or supporting the committee?</p> | <p>As above</p> | |
| <p>Are there any other issues you wish to raise?</p> | <p>Summary</p> <p>This committee has come a long way and members feel that their work is becoming much more relevant and productive, but there is still a way to go. The members work well together and take an active role in discussions, questioning and scrutiny.</p> <p>Members have worked hard to scrutinise information given and there is some progress but often data, financial information and clarity around delegation has been hard to secure. The persistence of members has led to progress being made in increasing clarity and transparency.</p> | |

Appendix 5 – Strategic Planning Group Annual Assurance Statement

COMMITTEE ANNUAL REPORT – 2020/21

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| NAME OF COMMITTEE: | Strategic Planning Group |
| NAME OF COMMITTEE MEMBER: | Ricky Henderson, Chair Tony Duncan, Head of Strategic Planning |
| DATE OF RESPONSE: | 30 June 2021. |

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| Committee objectives | <p>The objectives of the Strategic Planning Group (SPG) are to:</p> <ul style="list-style-type: none"> • Oversee strategic planning processes to meet statutory obligations placed on the Integration Joint Board in respect of strategies and plans. • Provide assurance to the IJB that processes are fully inclusive of stakeholders and partners and formal consultative processes are followed. • Identify on behalf of the IJB key priorities, progress arrangements and outcomes in relation to the planning of services. • Approve Directions, in line with the current IJB Directions policy, in order to deliver the Strategic Plan. If the SPG accepts these Directions, they will be recommended to the IJB for formal adoption. • Consider ideas from all interested groups, including EIJB committees, on ways to deliver the objectives of the Strategic Plan. If adopted this would initiate revised Directions. |
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**Work undertaken
this year**

The SPG covers a lot of ground throughout the year directly linked to matters of strategic planning. Time is spent considering options and focussing on key areas for improvement. The SPG is well attended and represents a cross section of stakeholders, all with an interest in the future of health and social care in the city.

The following were the SPG items of business for the period March 2020 to March 2021:

10 March 2020

Integrated Older People Service (IOPS) – Hospital at Home

A report was provided by the Head of Strategic Planning on the IOPS. The purpose of this report was to inform the SPG of the planned transfer of management of the IOPS from NHSL acute services to Edinburgh Health and Social care Partnership (EHSCP). The SPG noted that transfer of IOPS line management had been approved at Director level in EHSCP and NHSL, that IOPS was planned to move to full EHSCP management by no later than 31 March 2020 and that IOPS would be considered as part of the Home First Edinburgh project within the Transformation Programme.

Actioned.

Market Facilitation Framework

A report was provided by the Contracts Manager EHSCP on a proposed Market Facilitation Framework. This would inform the approach taken to collaborate and develop a full Market Facilitation Plan. The SPG agreed the content and proposed timeline for the plan, requested a draft plan was submitted to SPG in September 2020, and amendments to be made to the framework.

Afternote: Production of a Market Facilitation Plan was suspended due to the COVID-19 pandemic. The SPG agreed through the Rolling Actions log (RAL) to align production with the next strategic plan. An update was provided to the SPG in May 2021.

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| <p>Work undertaken this year</p> | <p>NHS Annual Operational Plan</p> <p>This report was withdrawn from the agenda.</p> <p>Equality Outcomes and Mainstreaming Report</p> <p>A report was provided by the Head of Strategic Planning on Equality Outcomes. The purpose of this report was to discharge the action to consider how public sector equalities duties are embedded in the work of the EIJB and if the issuing of Directions is an appropriate means to achieve this. The SPG agreed to note the process for embedding public sector equalities duties in the work of the EIJB. The SPG also agreed to receive an update on this work at a future meeting, to include information on the approach taken in other IJB's. Afternote: A Briefing Note on this was provided to the SPG in November 2020.</p> <p>Re-provisioning of Royal Edinburgh Hospital Learning Disabilities and Mental Health</p> <p>A report was provided by the Disability Support and Strategy Manager on the volume of beds required in future for adults with complex mental health and learning disabilities. The SPG agreed the number of assessment and treatment beds to be commissioned from REAS. To note the review of current community places and change programmes which aims to increase efficiency and choice for people. To support the initiation of formal dialogue with the Scottish Government and Mental Welfare Commission to collectively consider the potential impact of legislation and the report was referred to the EIJB for consideration. Afternote: The report is scheduled to be submitted to the EIJB in August 2021.</p> <p>NHS Lothian Primary Care Priorities</p> <p>A report was provided by the Director of Primary Care Transformation on the NHS response to the EIJB priorities on Primary Care. The SPG agreed that community dentistry, optometrists and pharmacists should be included in strategic planning. Actioned.</p> |
| <p>Work undertaken this year</p> | <p>12 May 2020 – Cancelled. All EIJB committees were suspended due to the COVID-19 pandemic.</p> |

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| | <p>15 September 2020 Review of Strategic Plan</p> <p>A report was provided by the Head of Strategic Planning on the annual review of the EIJB Strategic Plan in accordance with the SPG Terms of Reference. The SPG noted the progress that had been made and the timeline for the next strategic planning cycle. The SPG approved the report and referred it to the EIJB for approval. Actioned.</p> <p>Edinburgh Wellbeing Pact Situation Report</p> <p>A presentation was provided by the Strategic Programme Manager for Mental Health and Wellbeing on the Edinburgh Wellbeing Pact. The SPG noted the progress being made.</p> <p>COVID-19 Lessons Learned Report</p> <p>A report was provided by the Head of Strategic Planning on the COVID-19 Lessons Learned exercise which ran from early April to late July 2020. The Transformation Manager explained the process and how the lessons had been categorised and folded into projects within the Transformation Programme. The SPG noted the lessons learned and process applied. Actioned.</p> |
| <p>Work undertaken this year</p> | <p>City Vision 2050</p> <p>A report was provided by the Strategic Programme Manager for Mental Health and Wellbeing on City Vision 2050. The SPG approved the report and referred it to the EIJB for approval. Actioned.</p> <p>Learning Disabilities - Short Breaks Statement</p> <p>A report was provided by the Disability Support and Strategy Manager on Short Breaks. The report proposed to redesign Short Break Support increasing the use of Local Area Co-Ordination for Self-Directed Support. The report was primarily focussed on people with a disability, however a creative approach to short breaks through self-directed support should be applicable in other care groups.</p> |

Afternote: Now being considered as a workstream within the Bed Base Review in the Transformation Programme.

10 November 2020.

Approach to the Next Strategic Planning Cycle

A report was provided by the Head of Strategic Planning on the proposed approach to the next strategic planning cycle. The purpose of the report was to begin the conversation with the SPG and seek approval on the approach to the next strategic planning cycle. The SPG approved the report. **Actioned.**

20 January 2021

Strategy Progress Update

A report was provided by the Head of Strategic Planning on the Strategy Progress Update. The SPG noted the update and the proposed frameworks to be applied to the next planning cycle, including the timeline and milestones for the EIJB Strategic Plan 2022-2025. **Actioned.**

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| <p>Work undertaken this year</p> | <p>JSNA Update</p> <p>A report was provided by the Head of Strategic Planning on the progress of the JSNA. The SPG noted the work to date and agreed for the topic papers to be published on the EHSCP website. Actioned.</p> <p>Transformation Programme Update</p> <p>A presentation was provided by the Transformation Manager updating the SPG on the ongoing work in the Transformation Programme. The SPG noted progress and agreed that this work should be incorporated into the Strategy Progress Update referred to the EIJB. Actioned.</p> <p>Edinburgh Wellbeing Pact and Community Mobilisation</p> <p>A presentation was provided by the Strategic Programme Manager for Mental Health and Wellbeing on the Community Mobilisation Project which directly supports the Edinburgh Wellbeing Pact project within the Transformation Programme. The SPG noted progress and requested a report be produced for the EIJB. Actioned.</p> |
| <p>Outputs</p> | <p>As listed above. Key outputs:</p> <ul style="list-style-type: none"> • Reviewed the EIJB Strategic Plan 2019-22 and referred it to the EIJB for noting. • Approved the development of the next strategic planning cycle and referred it to the EIJB for noting. • Approved the development of the JSNA refresh and referred it to the EIJB for noting. • Approved the City Vision 2050 Charter and referred it to the EIJB for approval. • Approved progress in the Community Mobilisation project and requested a report be produced for the EIJB for noting. |

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| <p>Is there anything which prevents the committee from being as effective as they would like to be? If so, please expand.</p> | <p>SPG membership. The SPG membership by its nature must be diverse and representative. There have been some gaps over the past year which are being closed through official channels, so this is expected to improve.</p> |
| <p>Are there any issues of concern you would wish raised at the Board? If so, please expand.</p> | |
| <p>What (if any) changes are you making based on your experience within the committee?</p> | <p>Review of the terms of reference for appropriate membership in line with the appointment to members of the EIJB.</p> |

Do you feel that there is sufficient skill either on the committee or supporting the committee?

The SPG has statutory membership on the committee, which is indicated below, given the representation from key partners on the SPG, there is enough experience and skill to discuss the various important workstreams and to scrutinise as required. The EIJB has recently approved Judith Stonebridge Public Health Consultant to sit on the SPG under the Health Professionals membership.

Statutory Membership

- Non-voting members of the IJB
- NHSL Director of Planning
- Health professionals.
- Service users of health care.
- Carers in health care.
- Social care professionals.
- Service users of social care.
- Carers from social care.
- Independent providers of social care.
- Staff side representative.
- Registered Social Housing organisations; and
- Third sector bodies carrying our activities related to health care or social care
- EHSCP support